


Govt copy

RDS Key: 16203207

For Official Use Only

Page 1 of 6

	FEDERAL LICENSING SYSTEM	31 JAN 2014
	License Registration Report	Time
		14:10:03

License Number: 1 62 157 01 6K 03207

Application ID: 1786902

Special Attention Flags

R PENDING REVOCATION

Application Type	Disposition
FORM 7	LICENSE ISSUED

Status
ACTIVE

Add Date	Change Date	Original Issue Date	Expiration Date	Renewal Receive Date	Renewal Date
09/06/2007	10/24/2013	09/06/2007	10/01/2016		08/30/2013

Inspection Date	Business Type	Wholesale Indicator	Storage
10/17/2013	S		

Division
NASHVILLE

Area Office
NASHVILLE II

EIN	Licensee/Permittee	Business Name
161241537	DICK'S SPORTING GOODS, INC.	DICK'S SPORTING GOODS, INC. (#375)

Voice Phone: (901)386-5302

Fax Phone: (724)227-2375

Premises Address

Street: 2393 N GERMANTOWN PKWY
City: MEMPHIS State: TN Zip Code: 380160000
County Code: 157 County Name: SHELBY

Mailing Address

Street: 345 COURT ST
City: CORAOPOLIS State: PA Zip Code: 15108

Govt 1

Original
Notice of Revocation of License

In the matter of License Number 1-62-157-01-3K-03207, as a Dealer, Including Pawnbroker, in Firearms
Other than Destructive Devices _____ issued to:
Name and Address of Licensee (Show number, street, city, State and ZIP Code) (Begin typing one space below dots)

Dick's Sporting Goods, Inc.
d/b/a Dick's Sporting Goods, Inc. #375
2393 N. Germantown Pkwy.
Memphis, Tennessee 38016

Notice Is Hereby Given That:

- ☒ (1) Pursuant to section 923(e) of Title 18, U.S.C., and for the reasons stated in the page(s) attached to this form, having been afforded proper opportunity for a hearing, the license described above is revoked effective 15 days from the date of receipt ;
- ☒ (2) Pursuant to section 923(f)(2) of Title 18, U.S.C., you may file a request with the Director of Industry Operations (DIO), Bureau of Alcohol, Tobacco, Firearms and Explosives, 5300 Maryland Way, Suite 200, Brentwood, Tennessee 37027
(Address)
in duplicate, within 15 days after receipt of this notice, for a hearing to review the revocation of your license;
- ☒ (3) If you request a hearing, it will be held as provided in 27 CFR Part 478; and
- ☒ (4) If your request for a hearing is filed on time, the effective date of revocation of your license will be stayed pending review pursuant to the hearing.

Date <u>11/21/2013</u>	Signature and Title of Bureau of Alcohol, Tobacco, Firearms and Explosives Official <u>Kevin L. Boydston</u> Kevin L. Boydston, Director, Industry Operations
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I certify that on the date shown below I served the above notice on the person identified below by

☐ Delivering a copy of the notice to
the address shown below

☒ Certified mail to the
address shown below
7010 0780 0000 4794 0376

Date Notice Served <u>11/21/2013</u>	Name of Person Served (Please state if served on partner or officer of corporation) Edward W. Stack, Chairman/CEO
---	--

Address Where Notice Served
345 Court St. Coraopolis. PA. 15108

Date <u>11/21/2013</u>	Signature of Person Serving Notice <u>Kevin L. Boydston</u> Kevin L. Boydston	Title Director, Industry Operations
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ATF Form 4500, Notice of Revocation of License

203080:PRL
5372 NVL-13-211482

Dick's Sporting Goods, Inc.
d/b/a Dick's Sporting Goods, Inc. #375
2393 N. Germantown Pkwy.
Memphis, Tennessee 38016

Federal Firearms License No. 1-62-157-01-3K-03207

Under the provisions of 18 U.S.C. § 923(e) and 27 C.F.R. § 478.73, notice is hereby given of the revocation of the Federal firearms license specified above, in that the Director, Industry Operations, United States Department of Justice, Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF), Nashville Field Division, has reason to believe that Dick's Sporting Goods, Inc. d/b/a Dick's Sporting Goods, Inc. #375, 2393 N. Germantown Pkwy., Memphis, Tennessee 38016, a Dealer, in Firearms Other than Destructive Devices, willfully violated the provisions of the Gun Control Act of 1968 as amended, 18 U.S.C. Chapter 44, and the regulations issued thereunder, 27 C.F.R. Part 478.

Transfer to Person with Reason to Believe Prohibited

1. 18 U.S.C. § 922(d) and 27 C.F.R. § 478.99(c) provide that a licensed dealer shall not sell or otherwise dispose of any firearm or any ammunition to any person knowing or having reasonable cause to believe that such person is prohibited from receipt and possession of firearms.

The Licensee, Dick's Sporting Goods, Inc. d/b/a Dick's Sporting Goods, Inc. #375, by and through its officers, agents and employees, on or about November 6, 2012, willfully transferred a firearm, a Mossberg, Maverick, serial number MV84994S, to Wayne Brady, knowing or having reasonable cause to believe that such person was prohibited from receipt and possession of firearms.

False Information in A&D Record as to Purchaser

2. 18 U.S.C. § 923(g)(1)(A), and 27 C.F.R. § 478.125(e), provide that each licensed dealer shall enter into a record each receipt and disposition of firearms. The sale or disposition of a firearm shall be recorded by the licensed dealer not later than 7 days following the date of such transaction and such record shall show the date of the sale or other disposition of each firearm, the name and address of the person to whom the firearm is transferred, or the name and license number of the person to whom transferred if such person is a licensee, or the firearms transaction record, Form 4473, serial number if the

ATF Form 4500, Notice of Revocation of License

licensed dealer transferring the firearm serially numbers the Forms 4473 and files them numerically.

18 U.S.C. §§ 922(m) and 924(a)(3)(A) and 27 C.F.R. § 478.128(c) provide that it is unlawful for any licensed dealer knowingly to make any false entry in, or fail to make appropriate entry in, or to fail to properly maintain, any record which is required to be kept pursuant to section 923 of Chapter 44 or regulations promulgated thereunder.

The Licensee, Dick's Sporting Goods, Inc. d/b/a Dick's Sporting Goods, Inc. #375, by and through its officers, agents and employees, willfully entered false information into its Acquisition and Disposition Record (A&D Record) in that on or about November 6, 2012, the Licensee recorded in its A&D Record the name of Laura Carolyn Brady, as being the transferee of a firearm, a Mossberg, Maverick, serial number MV84994S, when in fact the Licensee knew that Laura Carolyn Brady was not the true purchaser and transferee of the firearm and that said recording in its A&D Record was false.

False Information on ATF Form 4473 as to Purchaser

3. 18 U.S.C. § 923(g)(1)(A) and 27 C.F.R. § 478.124(c)(1) provide that prior to making an over-the-counter transfer of a firearm to a nonlicensee who is a resident of the State in which the licensee's business premises is located, the licensed dealer so transferring the firearm shall obtain a Form 4473 from the transferee showing, among other things, the transferee's name.

18 U.S.C. §§ 922(m) and 924(a)(3)(A), and 27 C.F.R. § 478.128(c) provide that it is unlawful for any licensed dealer knowingly to make any false entry in, or fail to make appropriate entry in, or to fail to properly maintain, any record which is required to be kept pursuant to section 923 of Chapter 44 or regulations promulgated thereunder.

The Licensee, Dick's Sporting Goods, Inc. d/b/a Dick's Sporting Goods, Inc. #375, by and through its officers, agents and employees, willfully maintained false statements and false entries on a Firearms Transaction Record, ATF Form 4473 (5300.9), (ATF Form 4473) a record required to be maintained by 18 U.S.C. § 923(g) and 27 C.F.R. § 478.124, in that on or about November 6, 2012, the Licensee maintained an ATF Form 4473 which recorded the name of Laura Carolyn Brady, of 70 Grove Dale St., Memphis, Tennessee, as being the transferee of a firearm, a Mossberg, Maverick, serial number MV84994S, when in fact the Licensee knew that Laura Carolyn Brady was not the true purchaser and transferee of such firearm.

ATF Form 4500, Notice of Revocation of License

Therefore, the Federal Firearms License referenced above is REVOKED under the authority of Title 18, United States Code, Section 923(e) and Title 27 Code of Federal Regulations, Section 478.73.

MARK BARNES*
CHRISTOPHER THOMAS*
REGINA FISHER†
KATHRYN CIANO**



Mark Barnes & Associates
A T T O R N E Y S

HEATHER HAMILTON **
OF COUNSEL

* Also Admitted in Arizona and Alaska
* Also Admitted in Arizona

** Only Admitted in Maryland
† Only Admitted in Ohio
** Only Admitted in Florida

December 6, 2013

Bureau of Alcohol, Tobacco, Firearms, and Explosives
Nashville Field Division
Attn: Mr. Kevin Boydston
Director of Industry Operations
5300 Maryland Way, Suite 200
Brentwood, TN 37027

RE: Request for Revocation Hearing for Dick's Sporting Goods, Inc. dba Dick's Sporting Goods, Inc. #375 (License #1-62-157-01-3K-03207)

Dear Mr. Boydston:

On November 26, 2013, Dick's Sporting Goods, Inc. dba Dick's Sporting Goods, Inc. #375 ("Dick's Store #375"), Federal Firearms License ("FFL") #1-62-157-01-3K-03207 received a Notice of Revocation of License ("Revocation Notice"), issued under 18 U.S.C. § 923(e). The Revocation Notice was dated November 21, 2013 and was issued by the Nashville Field Division of the Bureau of Alcohol, Tobacco, Firearms, and Explosives ("ATF"). For your convenient reference, a true and correct copy of the Revocation Notice, as Dick's Store #375 received it, is attached hereto. As the Revocation Notice noted, Dick's Store #375 has the right under 18 U.S.C. § 923(f)(2) to request a hearing before ATF in this matter. Accordingly, and as per our brief discussion earlier today, please accept this letter as both our notice of appearance as counsel for Dick's Store #375 in this matter and our request, on our client's behalf, for a hearing in this matter.

We have been recently assigned by Dick's Sporting Goods, Inc. to address this matter so we are currently reviewing the case. However, if we may address any concerns you have regarding this matter, please do not hesitate to contact Mr. Mark Barnes at 202-626-007 or I can be reached at 202-626-0079. Otherwise, we look forward to hearing from you regarding the scheduling of a hearing in this matter.

Respectfully yours,

Christopher Thomas
Attorney at Law

Gov't 3

CT:ct
Enclosure
By email to: Kevin.Boydson@ATF.gov
1350 I Street NW, Suite 200, Washington, DC 20004

Original
Notice of Revocation of License

In the matter of License Number 1-62-157-01-3K-03207, as a Dealer, including Pawnbroker, in Firearms

Other than Destructive Devices

issued to:

Name and Address of Licensee (Show number, street, city, State and ZIP Code) (Begin typing one space below dots)

Dick's Sporting Goods, Inc.
d/b/a Dick's Sporting Goods, Inc. #375
2393 N. Germantown Pkwy.
Memphis, Tennessee 38016

Notice Is Hereby Given That:

- ☒ (1) Pursuant to section 923(c) of Title 18, U.S.C., and for the reasons stated in the page(s) attached to this form, having been afforded proper opportunity for a hearing, the license described above is revoked effective 15 days from the date of receipt ;
- ☒ (2) Pursuant to section 923(f)(2) of Title 18, U.S.C., you may file a request with the Director of Industry Operations (DIO), Bureau of Alcohol, Tobacco, Firearms and Explosives, 5300 Maryland Way, Suite 200, Brentwood, Tennessee 37027
(Address)
in duplicate, within 15 days after receipt of this notice, for a hearing to review the revocation of your license;
- ☒ (3) If you request a hearing, it will be held as provided in 27 CFR Part 478; and
- ☒ (4) If your request for a hearing is filed on time, the effective date of revocation of your license will be stayed pending review pursuant to the hearing.

Date <u>11/21/2013</u>	Signature and Title of Bureau of Alcohol, Tobacco, Firearms and Explosives Official <u>Kevin L. Boydston</u> Kevin L. Boydston, Director, Industry Operations
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I certify that on the date shown below I served the above notice on the person identified below by

☐ Delivering a copy of the notice to the address shown below

☒ Certified mail to the address shown below
7008 0500 0002 1621 3368

Date Notice Served <u>11/21/2013</u>	Name of Person Served (Please state if served on partner or officer of corporation) Edward W. Stack, Chairman/CEO
---	--

Address Where Notice Served

345 Court St. Coraopolis. PA. 15108

Date <u>11/21/2013</u>	Signature of Person Serving Notice <u>Kevin L. Boydston</u> Kevin L. Boydston	Title Director, Industry Operations
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ATF Form 4500, Notice of Revocation of License

203080:PRL
5372 NVL-13-211482

Dick's Sporting Goods, Inc.
d/b/a Dick's Sporting Goods, Inc. #375
2393 N. Germantown Pkwy.
Memphis, Tennessee 38016

Federal Firearms License No. 1-62-157-01-3K-03207

Under the provisions of 18 U.S.C. § 923(e) and 27 C.F.R. § 478.73, notice is hereby given of the revocation of the Federal firearms license specified above, in that the Director, Industry Operations, United States Department of Justice, Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF), Nashville Field Division, has reason to believe that Dick's Sporting Goods, Inc. d/b/a Dick's Sporting Goods, Inc. #375, 2393 N. Germantown Pkwy., Memphis, Tennessee 38016, a Dealer, in Firearms Other than Destructive Devices, willfully violated the provisions of the Gun Control Act of 1968 as amended, 18 U.S.C. Chapter 44, and the regulations issued thereunder, 27 C.F.R. Part 478.

Transfer to Person with Reason to Believe Prohibited

1. 18 U.S.C. § 922(d) and 27 C.F.R. § 478.99(c) provide that a licensed dealer shall not sell or otherwise dispose of any firearm or any ammunition to any person knowing or having reasonable cause to believe that such person is prohibited from receipt and possession of firearms.

The Licensee, Dick's Sporting Goods, Inc. d/b/a Dick's Sporting Goods, Inc. #375, by and through its officers, agents and employees, on or about November 6, 2012, willfully transferred a firearm, a Mossberg, Maverick, serial number MV84994S, to Wayne Brady, knowing or having reasonable cause to believe that such person was prohibited from receipt and possession of firearms.

False Information in A&D Record as to Purchaser

2. 18 U.S.C. § 923(g)(1)(A), and 27 C.F.R. § 478.125(e), provide that each licensed dealer shall enter into a record each receipt and disposition of firearms. The sale or disposition of a firearm shall be recorded by the licensed dealer not later than 7 days following the date of such transaction and such record shall show the date of the sale or other disposition of each firearm, the name and address of the person to whom the firearm is transferred, or the name and license number of the person to whom transferred if such person is a licensee, or the firearms transaction record, Form 4473, serial number if the

ATF Form 4500, Notice of Revocation of License

licensed dealer transferring the firearm serially numbers the Forms 4473 and files them numerically.

18 U.S.C. §§ 922(m) and 924(a)(3)(A) and 27 C.F.R. § 478.128(c) provide that it is unlawful for any licensed dealer knowingly to make any false entry in, or fail to make appropriate entry in, or to fail to properly maintain, any record which is required to be kept pursuant to section 923 of Chapter 44 or regulations promulgated thereunder.

The Licensee, Dick's Sporting Goods, Inc. d/b/a Dick's Sporting Goods, Inc. #375, by and through its officers, agents and employees, willfully entered false information into its Acquisition and Disposition Record (A&D Record) in that on or about November 6, 2012, the Licensee recorded in its A&D Record the name of Laura Carolyn Brady, as being the transferee of a firearm, a Mossberg, Maverick, serial number MV84994S, when in fact the Licensee knew that Laura Carolyn Brady was not the true purchaser and transferee of the firearm and that said recording in its A&D Record was false.

False Information on ATF Form 4473 as to Purchaser

3. 18 U.S.C. § 923(g)(1)(A) and 27 C.F.R. § 478.124(c)(1) provide that prior to making an over-the-counter transfer of a firearm to a nonlicensee who is a resident of the State in which the licensee's business premises is located, the licensed dealer so transferring the firearm shall obtain a Form 4473 from the transferee showing, among other things, the transferee's name.

18 U.S.C. §§ 922(m) and 924(a)(3)(A), and 27 C.F.R. § 478.128(c) provide that it is unlawful for any licensed dealer knowingly to make any false entry in, or fail to make appropriate entry in, or to fail to properly maintain, any record which is required to be kept pursuant to section 923 of Chapter 44 or regulations promulgated thereunder.

The Licensee, Dick's Sporting Goods, Inc. d/b/a Dick's Sporting Goods, Inc. #375, by and through its officers, agents and employees, willfully maintained false statements and false entries on a Firearms Transaction Record, ATF Form 4473 (5300.9), (ATF Form 4473) a record required to be maintained by 18 U.S.C. § 923(g) and 27 C.F.R. § 478.124, in that on or about November 6, 2012, the Licensee maintained an ATF Form 4473 which recorded the name of Laura Carolyn Brady, of 70 Grove Dale St., Memphis, Tennessee, as being the transferee of a firearm, a Mossberg, Maverick, serial number MV84994S, when in fact the Licensee knew that Laura Carolyn Brady was not the true purchaser and transferee of such firearm.

ATF Form 4500, Notice of Revocation of License

Therefore, the Federal Firearms License referenced above is REVOKED under the authority of Title 18, United States Code, Section 923(e) and Title 27 Code of Federal Regulations, Section 478.73.

Report of Violations

Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in triplicate. The original copy will be given to the proprietor or a responsible representative. The remaining copies will be submitted with the completed inspection report. Supervisors will detach one copy from the completed report for their files.

Name of Proprietor Dick's Sporting Goods, Inc Dick's Sporting Goods, Inc (#375)	Street Address 2395 N. Germantown Pkwy	City Memphis	State TN	Zip Code 37016	County Shelby	Page 1 of 2 Pages
License/Permit/Registry Number (If any) 162157013K03207		Expiration Date 10/1/2013	Date(s) or Period of Inspection 06/11/2013 through 06/14/2013			

An examination of your premises, records and operations has disclosed the following violations which have been explained to you:

Inspection Results

Number: 1

Nature of Violation:

Failure to properly record the correct disposition name and address for a Stoeger model P350 shotgun identified by serial number 1227962 acquired on 3/28/13 and transferred on 3/28/13.
Citation: 27 CFR 478.125(c)

Date Corrections to be Made:
(If not corrected immediately)
Corrective Action to be Taken: Record the correct disposition.
(If not corrected immediately)

Number: 2

Nature of Violation:

Failure to enter the true identity of a buyer into the A&D Record (by entering a straw purchaser into the record). On November 6, 2012 Jason Wayne Brady, of 70 Grove Dale St., Memphis, TN, attempted to purchase a firearm, a Mossberg, Mavrick, S/N M1V64994S and received a denied response by TICS. On the same day, within nine (9) hours, Laura Carolyn Brady, of 70 Grove Dale St., Memphis, TN, purchased the same firearm from the same clerk.
Citation: 27 CFR 478.128(c)

Date Corrections to be Made:
(If not corrected immediately)
Corrective Action to be Taken: Person completing the Form 4473 must be the actual buyer
(If not corrected immediately) of the firearm.

Report of Violations

Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in triplicate. The original copy will be given to the proprietor or a responsible representative. The remaining copies will be submitted with the completed inspection report. Supervisors will detach one copy from the completed report for their files.

Name of Proprietor Dick's Sporting Goods, Inc Dick's Sporting Goods, Inc (#375)	Street Address 2393 N. Germantown Pkwy	City Memphis	State TN	Zip Code 37016	County Shelby	Page 2 of 2 Pages
License/Permit/Registry Number (If any) 162157013K03207	Expiration Date 10/1/2013	Date(s) or Period of Inspection 06/11/2013 through 06/14/2013				

Inspection Results

An examination of your premises, records and operations has disclosed the following violations which have been explained to you:

Number: 3

Nature of Violation:

Failure to stop the transfer of a firearm to a person while knowing or having reasonable cause to believe that such person is prohibited (by transferring a firearm thru a straw purchase). On November 6, 2012 Jason Wayne Brady, of 70 Grove Dale St., Memphis, TN, attempted to purchase a firearm, a Mossberg, Maynard, S/N MY84994S and received a denied response by HICS. On the same day, within nine (9) hours, Laura Carolyn Brady, of 70 Grove Dale St., Memphis, TN, purchased the same firearm from the same clerk.
Citation: 27 CFR 478.99(c)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: Person completing the Form 4473 must be the actual buyer (If not corrected immediately) of the firearm.

I Have Received a Copy of This Report of Violations (Proprietor's signature and title)

Signature and Title of ATF Officer

For Official Use Only

[Signature]
J. J. J. J.

ASA Paul Tatum Store Mgr

Date
06/18/2013
Date
06/18/13

EVERY SEASON STARTS AT



www.DicksSportingGoods.com

345 Court Street • Coraopolis, PA 15108

Main Phone: 724-273-3400

December 17, 2013

RE: Power of Attorney

To whom it may concern:

Please be advised that Mark Barnes & Associates is authorized to represent the undersigned, Dick's Sporting Goods, Inc., for purposes limited to representation regarding revocation hearing and associated regulatory compliance matters with regard to Dick's Sporting Goods, Inc. Store # 375 before the Bureau of Alcohol, Tobacco, Firearms, and Explosives.

Please provide representatives of Mark Barnes & Associates, including: Mark Barnes, Terri Barstis, Christopher Thomas, Regina Fisher, JoAnna Lewis, and Michael Faucette with any information to which the undersigned would be entitled, subject to the above referenced scope restriction, if the request were made by the undersigned personally.

Thank you for your cooperation in this matter.

Sincerely,

A handwritten signature in cursive script that reads "Kevin L. Dodson".

Kevin Dodson
Manager
Loss Prevention, Compliance, and Logistics
ATF Responsible Person

UNITED STATES OF AMERICA

* NVL-13-211482

*

IN THE MATTER OF THE NOTICE
OF REVOCATION OF LICENSE
ISSUED TO:

* NASHVILLE FIELD DIVISION
* 5300 MARYLAND WAY, SUITE 200
* BRENTWOOD, TN 37027

*

DICK'S SPORTING GOODS, INC.
2393 N. GERMANTOWN PKWY.
MEMPHIS, TENNESSEE 38016

* DEPARTMENT OF JUSTICE
* BUREAU OF ALCOHOL, TOBACCO,
* FIREARMS AND EXPLOSIVES

NOTICE OF HEARING

On November 21, 2013, a Notice of Revocation of License, ATF Form 4500, was issued to Dick's Sporting Goods, Inc. d/b/a Dick's Sporting Goods, Inc. #375, 2393 N. Germantown Pkwy. Memphis, Tennessee 38016.

By letter received on December 6, 2013, the licensee requested a hearing on the notice revoking the license by and through Christopher Thomas, Attorney at Law, Mark Barnes & Associates.

Therefore, notice is given that a hearing in the matter will be conducted in accordance with 27 C.P.R. Part 478, Subpart E, before Michael Reilly, Hearing Officer, Bureau of Alcohol, Tobacco, Firearms and Explosives at 9:00 am on January 15, 2014, at our ATF Field Office located at 2600 Thousand Oaks Blvd., Suite 2300 Memphis TN 38118. As provided in 27 C.P.R. § 478.76, the licensee maybe represented at the hearing.

Issued at BRENTWOOD, TENNESSEE this 18th day of December, 2013.



KEVIN L. BOYDSTON
DIRECTOR OF INDUSTRY OPERATIONS
NASHVILLE FIELD DIVISION
BUREAU OF ALCOHOL, TOBACCO, FIREARMS
AND EXPLOSIVES

EXPLANATION OF THE HEARING PROCESS



Hearings

A determination has been made to deny your original or renewal application for a Federal firearms license or to revoke your existing Federal firearms license.

As indicated on the enclosed form, you have the right to request a hearing. This brochure provides general guidance and an overview of the hearing process for industry members that may assist you in making a decision to request a hearing, and to appropriately prepare for a hearing should you request one.

Background

The Gun Control Act of 1968 and its implementing regulations specify certain licensing requirements for those intending to engage in a firearms business.

ATF is authorized to deny a license when an inspection reveals the applicant is not qualified to receive or not qualified to continue to hold the license. ATF may also revoke a license when it is determined that a

current licensee is no longer eligible to continue licensed operations.

Your Rights

ATF has made one of the above determinations in your case, issuing you either a Notice of Denial or a Notice of Revocation of License. You have the right to request a hearing to review the proposed denial or revocation action found in the notice you received. This is done by submitting written notification to the Director, Industry Operations (DIO) who issued your Notice. Timeliness is important. *You only have 15 days from your receipt of the Notice to request a hearing.*

Although you may hire an attorney, it is not required, although it may be in your interest to do so. That is your option.

Hearing Overview

If you submit a letter requesting a hearing to the DIO in time, the DIO or his/her representative will begin to make arrangements for the hearing. The date and time of the hearing will be set by ATF, but you will be consulted as to your availability. ATF will also notify you of the location of the hearing, taking into consideration convenience to you and the availability of government office space that is close to you to conduct the hearing. Once the date, time, and place are set, you will be notified in writing (via certified mail, return receipt requested).

NOTE: Under no circumstances will you, your representative, or witnesses be permitted to bring firearms or any other

EXPLANATION OF THE HEARING PROCESS

weapons to the hearing. The hearing will not begin, or will cease, if it is determined this policy has been violated.

The hearing is generally scheduled not later than 90 days from the date of the letter notifying you of the date, time, and location of the hearing. There are, however, limited circumstances that may require the hearing to be rescheduled for good cause, as determined by the DIO.

The hearing itself is informal in nature, and adherence to civil court rules and procedures is not required. There is no sworn testimony and formal courtroom procedures are not required. The hearing is recorded via audiotape recorder. The resulting tape, along with exhibits presented at the hearing, constitute the official record of the hearing.

ATF does not videotape the hearing proceedings and you will not be allowed to videotape the hearing. You may make an audiotape recording of the proceedings, or have the proceedings recorded by a stenographer at your own expense, provided this recording is not disruptive to the proceedings. However, the ATF recording of the hearing is the official record of the proceeding.

Hearing Officer

The hearing officer is designated by ATF. The selection of the hearing officer is dependent upon a number of factors, including the nature of your case. A hearing officer will be selected who has no prior knowledge of your case and has had no interactions with you or your licensed operations. In most cases, the assigned hearing officer will come from outside the

ATF field division in which your licensed business is located.

Conduct of the Hearing

The hearing officer will ensure the proceedings are conducted in an orderly and professional manner. The purpose of the hearing is to allow both parties to fully present all relevant evidence and arguments regarding the denial or revocation of a license or permit. Most hearings require less than a single day to complete.

The government will be represented by an attorney and will present its evidence first. The government will generally call as a witness the ATF industry operations investigator(s) who conducted your application or compliance inspection, or other ATF employees who have relevant information concerning your case.

At the conclusion of the government's presentation, you will have the opportunity to respond. Make sure you state your case as clearly and factually as possible. The case you present will receive the same consideration by the hearing officer as the government's case. Be willing and prepared to address each violation described in the Notice you received. You may call witnesses. Your witnesses should be able to speak to the findings in the Notice, and may be, for example, the store manager, an employee, bookkeeper, or clerk. You may also present relevant evidence. Relevant evidence is evidence which tends to prove or disprove an issue at the hearing, such as whether the alleged violation occurred as stated in the Government's Notice of Denial or Revocation.

EXPLANATION OF THE HEARING PROCESS

Both parties have the right to question all witnesses. The party calling a witness shall have the right to re-direct examination of the witness. You should need no legal training to state your case. The most important consideration is that both parties –you and the government – are given a chance to fully explain the findings and violations disclosed during the application inspection or compliance inspection.

When the hearing officer is satisfied all evidence and arguments have been fully presented by the parties, the hearing officer will advise you that the DIO will make a decision in the matter and will notify you of the final decision in writing.

Following completion of the hearing, the hearing officer prepares a factual report summarizing the proceedings. This report will be forwarded to the DIO, who makes the denial or revocation decision for ATF.

A license may be denied based on your failure to satisfy licensing requirements, or based on past willful violations.

Generally speaking, ATF will cite willful violations as the basis for revocation cases. Willful violations are those violations meeting the statutory requirement for denial or revocation. "Willfulness," as defined by the courts means the purposeful disregard of a known legal duty, or plain indifference to a licensee's legal obligation. ATF is not required to prove you *intended* to violate the law, only that you knew your legal obligation as a licensee, and you purposefully disregarded this obligation or were plainly indifferent to your obligation.

If, after review of the entire record, you failed to satisfy licensing requirements, or willful violations are found, the DIO may issue a final notice of denial or revocation, which will be sent to you via certified mail.

If you are not satisfied with the final decision of the DIO, you may appeal the decision to Federal district court within 60 days. The hearing proceedings may become part of the review.

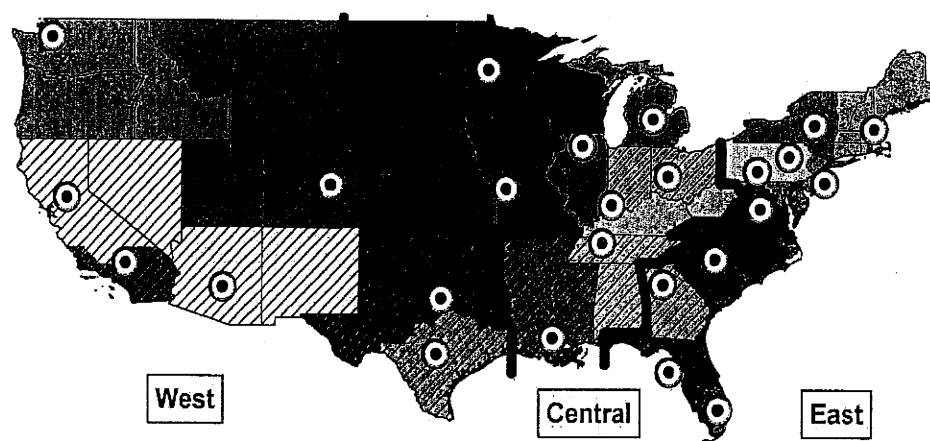
EXPLANATION OF THE HEARING PROCESS

If you have any questions concerning the hearing, please contact the DIO for the ATF division in which you are located.

Atlanta, GA	(404) 417-2600
Baltimore, MD	(443) 965-2000
Boston, MA	(617) 557-1200
Charlotte, NC	(704) 716-1800
Chicago, IL	(312) 846-7200
Columbus, OH	(614) 827-8400
Dallas, TX	(469) 227-4300
Denver, CO	(303) 575-7600
Detroit, MI	(313) 202-3400
Houston, TX	(281) 716-8200
Kansas City, MO	(816) 559-0700
Los Angeles, CA	(818) 265-2500
Louisville, KY	(502) 753-3400

Miami, FL	(305) 597-4800
Nashville, TN	(615) 565-1400
New Orleans, LA	(504) 841-7000
New York, NY	(646) 335-9000
Newark, NJ	(973) 413-1179
Philadelphia, PA	(215) 446-7800
Phoenix, AZ	(602) 776-5400
San Francisco, CA	(925) 557-2800
Seattle, WA	(206) 204-3205
St. Paul, MN	(651) 726-0200
Tampa, FL	(813) 202-7300
Washington, DC	(202) 648-8020

ATF Field Divisions



Industry Operations Regions

North (No Hatching)

/// South (Hatching)

ATF Field Divisions

Atlanta
Baltimore
Boston
Charlotte
Chicago
Columbus

	Dallas		New York
	Denver		Newark
	Detroit		Philadelphia
	Houston		Phoenix
	Kansas City		Saint Paul
	Los Angeles		San Francisco
	Louisville		Seattle
	Miami		Tampa
	Nashville		Washington
	New Orleans		

Federal Government Building Laws and Regulations

Inspection. Packages, briefcases, and other containers in the immediate possession of visitors, employees, or other persons arriving on, working at, visiting, or departing from Federal property, are subject to inspection. A full search of a person and any vehicle driven or occupied by the person may accompany an arrest. (41 CFR 101-20.301)

Admission to property. Property shall be closed to the public during other than normal working hours. The closing of property will not apply to that space in those instances where the Government has approved the after-normal-working-hours use of buildings or portions thereof for activities authorized by subpart 101-20.4. During normal working hours, property shall be closed to the public only when situations require this action to ensure the orderly conduct of Government business. The decision to close the property shall be made by the designated official under the Occupant Emergency program after consultation with the buildings manager and the ranking representative of the Law Enforcement Branch responsible for protection of the facility or the area. The designated official is defined in Sec. 101-20.003(g) as the highest ranking official of the primary occupant agency, or the alternate highest ranking official or designee selected by mutual agreement by other occupant agency officials. When property, or a portion thereof, is closed to the public, admission to this property, or a portion, will be restricted to authorized persons who shall register upon entry to the property and shall, when requested, display Government or other identifying credentials to the Federal Protective Officers or other authorized individuals when entering, leaving, or while on the property. Failure to comply with any of the applicable provisions is a violation of these regulations. (41 CFR 101-20.302)

Preservation of property. The improper disposal of rubbish on property; the willful destruction of or damage to property; the theft of property; the creation of any hazard on property to persons or things; the throwing of articles of any kind from or at a building or the climbing upon statues, fountains, or any part of the building, is prohibited. (41 CFR 101-20.303)

Conformity with signs and directions. Persons in and on property shall at all times comply with official signs of a prohibitory, regulatory, or directory nature and with the lawful direction of Federal Protective Officers and other authorized individuals. (41 CFR 101-20.304)

Disturbances. Any loitering, disorderly conduct, or other conduct on property which creates loud or unusual noise or a nuisance; which unreasonably obstructs the usual use of entrances, foyers, lobbies, corridors, offices, elevators, stairways, or parking lots; which otherwise impedes or disrupts the performance of official duties by Government employees; or which prevents the general public from obtaining the administrative services provided on the property in a timely manner, is prohibited. (41 CFR 101-20.305)

Gambling. Participating in games for money or other personal property or the operating of gambling devices, the conduct of a lottery or pool, or the selling or purchasing of numbers tickets, in or on property is prohibited. This prohibition shall not apply to the vending or exchange of chances by licensed blind operators of vending facilities for any lottery set forth in a State law and authorized by section 2(a)(5) of the Randolph-Sheppard Act (20 U.S.C. 107, et seq.) (41 CFR 101-20.306)

Alcoholic beverages and narcotics. Operations of a motor vehicle while on the property by a person under the influence of alcoholic beverages, narcotic drugs, hallucinogens, marijuana, barbiturates, or amphetamines is prohibited. Entering upon the property, or while on the property, under the influence of or using or possessing any narcotic drugs, hallucinogens, marijuana, barbiturates, or amphetamines is prohibited. The prohibition shall not apply in cases where the drug is being used as prescribed for a patient by a licensed physician. Entering upon the property, or being on the property, under the influence of alcoholic beverages is prohibited. The use of alcoholic beverages on property is prohibited except, upon occasions and on property upon which the head of the responsible agency or his or her designee has for appropriate official uses granted an exemption in writing. The head of the responsible agency or his or her designee shall provide a copy of all exemptions granted to the buildings manager and the Chief, Law Enforcement Branch, or other authorized officials, responsible for the security of the property. (41 CFR 101-20.307)

Soliciting, vending, and debt collection. Soliciting alms, commercial or political soliciting, and vending of all kinds, displaying or distributing commercial advertising, or collecting private debts on GSA-controlled property is prohibited. This rule does not apply to: (a) National or local drives for funds for welfare, health, or other purposes as authorized by 5 CFR, parts 110 and 950, Solicitation of Federal Civilian and Uniformed Services Personnel for Contributions to Private Voluntary Organizations issued by the U.S. Office of Personnel Management under Executive Order 12353 of March 23, 1982, as amended, and sponsored or approved by the occupant agencies; (b) Concessions or personal notices posted by employees on authorized bulletin boards; (c) Solicitation of labor organization membership or dues authorized by occupant agencies under the Civil Service Reform Act of 1978 (Pub. L. 95-454); and (d) Lessee, or its agents and employees, with respect to space leased for commercial, cultural, educational, or recreational use under the Public Buildings Cooperative Use Act of 1976 (40 U.S.C. 490(a)(16)). Note: Public areas of GSA-controlled property may be used for other activities permitted in accordance with subpart 101-20.4. (41 CFR 101-20.308)

Posting and distributing materials. (a) Public Law 104-52, Section 636, prohibits the distribution of free samples of tobacco products in or around Federal buildings. (b) Posting or affixing materials, such as pamphlets, handbills, or flyers, on bulletin boards or elsewhere on GSA-controlled property is prohibited, except as authorized in Sec. 101-20.308 or when these displays are conducted as part of authorized Government activities. Distribution of materials, such as pamphlets, handbills, or flyers is prohibited, except in the public areas of the property as defined in Sec. 101-20.003(z), unless conducted as part of authorized Government activities. Any person or organization proposing to distribute materials in a public area under this section shall first obtain a permit from the building manager under Subpart 101-20.4 and shall conduct distribution in accordance with the provisions of Subpart 101-20.4. Failure to comply with those provisions is a violation of these regulations. (41 CFR 101-20.309)

Photographs for news, advertising, or commercial purposes. Photographs may be taken in space occupied by a tenant agency only with the consent of the occupying agency concerned. Except where security regulations apply or a Federal court order or rule prohibits it, photographs for news purposes may be taken in entrances, lobbies, foyers, corridors, or auditoriums when used for public meetings. Subject to the foregoing prohibitions, photographs for advertising and commercial purposes may be taken only with written permission of an authorized official of the agency occupying the space where the photographs are to be taken. (41 CFR 101-20.310)

Dogs and other animals. Dogs and other animals, except seeing eye dogs, other guide dogs, and animals used to guide or assist handicapped persons, shall not be brought upon property for other than official purposes. (41 CFR 101-20.311)

Vehicular and pedestrian traffic. (a) Drivers of all vehicles entering or while on property shall drive in a careful and safe manner at all times and shall comply with the signals and directions of Federal protective officers or other authorized individuals and all posted traffic signs; (b) The blocking of entrances, driveways, walks, loading platforms, or fire hydrants on property is prohibited; and (c) Except in emergencies, parking on property is not allowed without a permit. Parking without authority, parking in unauthorized locations or in locations reserved for other persons, or parking contrary to the direction of posted signs is prohibited. Vehicles parked in violation, where warning signs are posted, shall be subject to removal at the owners' risk and expense. This paragraph may be supplemented from time to time with the approval of the Regional Administrator by the issuance and posting of such specific traffic directives as may be required, and when so issued and posted such directives shall have the same force and effect as if made a part thereof. Proof that a motor vehicle was parked in violation of these regulations or directives may be taken as prima facie evidence that the registered owner was responsible for the violation. (41 CFR 101-20.312)

Explosives. No person entering or while on property shall carry or possess explosives, or items intended to be used to fabricate an explosive or incendiary device, either openly or concealed, except for official purposes. (Weapons, see title 18, U.S. Code 930 (41 CFR 101-20.313))

Nondiscrimination. There shall be no discrimination by segregation or otherwise against any person or persons because of race, creed, sex, color, or national origin in furnishing or by refusing to furnish to such person or persons the use of any facility of a public nature, including all services, privileges, accommodations, and activities provided thereby on the property. (41 CFR 101-20.314)

Penalties and other laws. Whoever shall be found guilty of violating any rule or regulations in this subpart 101-20.3 while on any property under the charge and control of the U.S. General Services Administration is subject to a fine of not more than \$50 or imprisonment of not more than 30 days, or both (See title 40 U.S. Code 318c.) Nothing in these rules and regulations shall be construed to abrogate any other Federal laws or regulations or any State and local laws and regulations applicable to any area in which the property is situated (section 205(c), 63 U.S. Statutes, 390; 40 U.S. Code 486(c)). (41 CFR 101-20.315)

Title 41 Code of Federal Regulations Subpart 101-20.3--Conduct on Federal Property

WARNING

Title 18, United States Code, Section 930 WEAPONS PROHIBITED

Federal Law prohibits the knowing possession or the causing to be present of firearms or other dangerous weapons in Federal Facilities and Federal Court Facilities by all persons not specifically authorized by Title 18 United States Code, Section 930 (c).

Violators shall be subject to a fine and/or imprisonment for periods up to five years.

DICK'S Sporting Goods - Notice of Hearing

7008 0500 0002 1621 3757

U.S. Postal Service	
CERTIFIED MAIL RECEIPT	
(Domestic Mail Only; No Insurance Coverage Provided)	
For delivery information visit our website at www.usps.com	
OFFICIAL USE	
Postage	\$ 1.12
Certified Fee	\$ 3.10
Return Receipt Fee (Endorsement Required)	\$ 2.55
Restricted Delivery Fee (Endorsement Required)	
Total Postage & Fees	\$ 6.77
Postmark Here	
Sent To	
C. Thomas Mark Barnes & Associates	
Street, Apt. No., or PO Box No. 1350 I Street NW, Suite 260	
City, State, ZIP+4 Washington, DC 20005	
PS Form 3800, August 2006 See Reverse for Instructions	

SENDER: COMPLETE THIS SECTION

- Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:

Christopher Thomas, esq.
Mark Barnes & Associates
1350 I Street NW
Suite 260
Washington, DC 20005

2. Article Number

(Transfer from service label)

COMPLETE THIS SECTION ON DELIVERY

A. Signature

X *[Signature]*

☐ Agent

☐ Addressee

B. Received by (Printed Name)

C. Date of Delivery

26 DEC 13

D. Is delivery address different from item 1? ☐ Yes

If YES, enter delivery address below: ☐ No

3. Service Type

☒ Certified Mail

☐ Express Mail

☐ Registered

☒ Return Receipt for Merchandise

☐ Insured Mail

☐ C.O.D.

4. Restricted Delivery? (Extra Fee)

☐ Yes

7008 0500 0002 1621 3757

UNITED STATES OF AMERICA

* NVL-13-212482

*

IN THE MATTER OF THE NOTICE
OF REVOCATION OF LICENSE
ISSUED TO:

* NASHVILLE FIELD DIVISION

* 5300 MARYLAND WAY, SUITE 200

* BRENTWOOD, TN 37027

*

DICK'S SPORTING GOODS, INC
2393 N. GERMANTOWN PKWY
MEMPHIS TENNESSEE 38016

* DEPARTMENT OF JUSTICE

* BUREAU OF ALCOHOL, TOBACCO,

* FIREARMS AND EXPLOSIVES

NOTICE OF HEARING

On November 21, 2013, a Notice of Revocation of License, ATF Form 4500, was issued to Dick's Sporting Goods, Inc. d/b/a Dick's Sporting Goods, Inc. # 375 2393 N. Pkwy. Memphis, Tennessee 38016.

By letter received on December 6, 2013, the licensee requested a hearing on the notice revoking the license by and through Christopher Thomas, Attorney at law, Mark Barnes & Associates. At the request of the licensees counsel, the Director of Industry Operations agreed to delay the hearing previously scheduled for January 15, 2014.

Therefore, notice is given that a hearing in the matter will be conducted in accordance with 27 C.F.R. Part 478, Subpart E, before Michael T. Reilly, Hearing Officer, Bureau of Alcohol, Tobacco, Firearms and Explosives at 9:00 am on February 5, 2014, at our ATF Field Office located at 2600 Thousand Oaks Blvd., Suite 2300 Memphis, Tennessee 38118. As provided in 27 C.F.R. § 478.76, the licensee maybe represented at the hearing.

Issued at BRENTWOOD, TENNESSEE this 3rd day of JANUARY, 2014.


KEVIN L. BOYDSTON

DIRECTOR OF INDUSTRY OPERATIONS

NASHVILLE FIELD DIVISION

BUREAU OF ALCOHOL, TOBACCO, FIREARMS
AND EXPLOSIVES

NOTICE OF HEARING 2

PICK SPORTSMAN GOODS INC

2889 5205 1000 0606 0701

U.S. Postal Service™	
CERTIFIED MAIL™ RECEIPT	
(Domestic Mail Only; No Insurance Coverage Provided)	
For delivery information visit our website at www.usps.com	
OFFICIAL USE	
Postage	\$
Certified Fee	
Return Receipt Fee (Endorsement Required)	
Restricted Delivery Fee (Endorsement Required)	
Total Postage & Fees	\$

Sent
Postmark Here
03 JAN 13
JCD

Sent To Christopher Thomas c/o MARK Barnes & Associates
Street, Apt. No., or PO Box No. 1350 I. St. NW, suite 260
City, State, ZIP+4 Washington, DC 20005
PS Form 3800, August 2006 See Reverse for Instructions

SENDER: COMPLETE THIS SECTION

- Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:

Christopher Thomas
Mark Barnes & Associates
1350 I. St. NW, suite 260
WASHINGTON, DC 20005

COMPLETE THIS SECTION ON DELIVERY

A. Signature

X

- ☐ Agent
☐ Addressee

B. Received by (Printed Name)

C. Date of Delivery

11/22/14

D. Is delivery address different from item 1?

☐ Yes

If YES, enter delivery address below:

☐ No

3. Service Type

- ☒ Certified Mail ☐ Express Mail
☐ Registered ☒ Return Receipt for Merchandise
☐ Insured Mail ☐ C.O.D.

4. Restricted Delivery? (Extra Fee)

☐ Yes

2. Article Number

(Transfer from service label)

7010 3090 0001 5025 8382

Report of Violations

Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in triplicate. The original copy will be given to the proprietor or a responsible representative. The remaining copies will be submitted with the completed inspection report. Supervisors will detach one copy from the completed report for their files.

Name of Proprietor Dick's Sporting Goods, Inc Dick's Sporting Goods, Inc (#375)	Street Address 2393 N. Germantown Pkwy	City Memphis	State TN	Zip Code 37016-	County Shelby	Page 1 of 2 Pages
License/Permit/Registry Number (If any) 162157013K03207	Expiration Date 10/1/2013	Date(s) or Period of Inspection 06/11/2013 through 06/14/2013				

Inspection Results

An examination of your premises, records and operations has disclosed the following violations which have been explained to you:

Number: 1

Nature of Violation:

Failure to properly record the correct disposition name and address for a Stoeger model P350 shotgun identified by serial-number 1227962 acquired on 3/28/13 and transferred on 3/28/13.

Citation: 27 CFR 478.125(e)

Date Corrections to be Made:
(If not corrected immediately)

Corrective Action to be Taken: Record the correct disposition.
(If not corrected immediately)

Number: 2

Nature of Violation:

Failure to enter the true identity of a buyer into the A&D Record (by entering a straw purchaser into the record). On November 6, 2012 Jason Wayne Brady, of 70 Grove Dale St., Memphis, TN, attempted to purchase a firearm, a Mossberg, Mavrick, S/N MV849945 and received a denied response by TICS. On the same day, within nine (9) hours, Laura Carolyn Brady, of 70 Grove Dale St., Memphis, TN, purchased the same firearm from the same clerk.

Citation: 27 CFR 478.128(c)

Date Corrections to be Made:
(If not corrected immediately)

Corrective Action to be Taken: Person completing the Form 4473 must be the actual buyer of the firearm.
(If not corrected immediately)

Gov't 7

Report of Violations

Instructions

Please write firmly with a ball point pen when completing this form. ATF officers will prepare this form in triplicate. The original copy will be given to the proprietor or a responsible representative. The remaining copies will be submitted with the completed inspection report. Supervisors will detach one copy from the completed report for their files.

Name of Proprietor Dick's Sporting Goods, Inc Dick's Sporting Goods, Inc (#375)	Street Address 2393 N. Germantown Pkwy	City Memphis	State TN	Zip Code 37016-	County Shelby	Page 2 of 2 Pages
License/Permit/Registry Number (If any) 162157013K03207		Expiration Date 10/1/2013	Date(s) or Period of Inspection 06/11/2013 through 06/14/2013			

Inspection Results

An examination of your premises, records and operations has disclosed the following violations which have been explained to you:

Number: 3

Nature of Violation:

Failure to stop the transfer of a firearm to a person while knowing or having reasonable cause to believe that such person is prohibited (by transferring a firearm thru a straw purchaser). On November 6, 2012 Jason Wayne Brady, of 70 Grove Dale St., Memphis, TN, attempted to purchase a firearm, a Mossberg, Mavrick, S/N MV84994S and received a denied response by TICS. On the same day, within nine (9) hours, Laura Carolyn Brady, of 70 Grove Dale St., Memphis, TN, purchased the same firearm from the same clerk.

Citation: 27 CFR 478.99(c)

Date Corrections to be Made:

(If not corrected immediately)

Corrective Action to be Taken: Person completing the Form 4473 must be the actual buyer

(If not corrected immediately) of the firearm.

I Have Received a Copy of This Report of Violations (Proprietor's signature and title)

J. R. L. Am. Club Paul Interior Store Mgr

Signature and Title of ATF Officer

Date

06/18/2013

Date

6/18/13

Firearms Transaction Record Part I - Over-the-Counter

WARNING: You may not receive a firearm if prohibited by Federal or State law. The information you provide will be used to determine whether you are prohibited under law from receiving a firearm. Certain violations of the Gun Control Act, 18 U.S.C. §§ 921 *et seq.*, are punishable by up to 10 years imprisonment and/or up to a \$250,000 fine.

Transferor's Transaction
Serial Number (If any)

Prepare in original only. All entries must be handwritten in ink. Read the Notices, Instructions, and Definitions on this form. "PLEASE PRINT."

Section A - Must Be Completed Personally By Transferee (Buyer)

1. Transferee's Full Name

Last Name

BRADY

First Name

JASON

Middle Name (If no middle name, state "NMN")

WAYNE

2. Current Residence Address (U.S. Postal abbreviations are acceptable. Cannot be a post office box.)

Number and Street Address

70 GROVE DALE ST.

City

MEMPHIS

County

SHELBY

State

TN

ZIP Code

38120

3. Place of Birth

U.S. City and State

-OR-

Foreign Country

MEMPHIS, TENNESSEE

4. Height

Ft. 5

In. 10

5. Weight

(Lbs.)

160

6. Gender

☒ Male

☐ Female

7. Birth Date

Month

Day

Year

8. Social Security Number (Optional, but will help prevent misidentification)

9. Unique Personal Identification Number (UPIN) if applicable (See Instructions for Question 9.)

10.a. Ethnicity

☐ Hispanic or Latino

☒ Not Hispanic or Latino

10.b. Race (Check one or more boxes.)

☐ American Indian or Alaska Native

☐ Black or African American

☒ White

☐ Asian

☐ Native Hawaiian or Other Pacific Islander

11. Answer questions 11.a. (see exceptions) through 11.i. and 12. (if applicable) by checking or marking "yes" or "no" in the boxes to the right of the questions.

a. Are you the actual transferee/buyer of the firearm(s) listed on this form? Warning: You are not the actual buyer if you are acquiring the firearm(s) on behalf of another person. If you are not the actual buyer, the dealer cannot transfer the firearm(s) to you. (See Instructions for Question 11.a.) Exception: If you are picking up a repaired firearm(s) for another person, you are not required to answer 11.a. and may proceed to question 11.b.

Yes

☒

No

☐

b. Are you under indictment or information in any court for a felony, or any other crime, for which the judge could imprison you for more than one year? (See Instructions for Question 11.b.)

Yes

☐

No

☒

c. Have you ever been convicted in any court of a felony, or any other crime, for which the judge could have imprisoned you for more than one year, even if you received a shorter sentence including probation? (See Instructions for Question 11.c.)

Yes

☐

No

☒

d. Are you a fugitive from justice?

Yes

☐

No

☒

e. Are you an unlawful user of, or addicted to, marijuana or any depressant, stimulant, narcotic drug, or any other controlled substance?

Yes

☐

No

☒

f. Have you ever been adjudicated mentally defective (which includes a determination by a court, board, commission, or other lawful authority that you are a danger to yourself or to others or are incompetent to manage your own affairs) OR have you ever been committed to a mental institution? (See Instructions for Question 11.f.)

Yes

☐

No

☒

g. Have you been discharged from the Armed Forces under dishonorable conditions?

Yes

☐

No

☒

h. Are you subject to a court order restraining you from harassing, stalking, or threatening your child or an intimate partner or child of such partner? (See Instructions for Question 11.h.)

Yes

☐

No

☒

i. Have you ever been convicted in any court of a misdemeanor crime of domestic violence? (See Instructions for Question 11.i.)

Yes

☐

No

☒

j. Have you ever renounced your United States citizenship?

Yes

☐

No

☒

k. Are you an alien illegally in the United States?

Yes

☐

No

☒

l. Are you an alien admitted to the United States under a nonimmigrant visa? (See Instructions for Question 11.l.) If you answered "no" to this question, do NOT respond to question 12 and proceed to question 13.

Yes

☐

No

☒

12. If you are an alien admitted to the United States under a nonimmigrant visa, do you fall within any of the exceptions set forth in the instructions? (If "yes," the licensee must complete question 20c.) (See Instructions for Question 12.) If question 11.l. is answered with a "no" response, then do NOT respond to question 12 and proceed to question 13.

Yes

☐

No

☒

13. What is your State of residence (if any)? (See Instructions for Question 13.)

TENNESSEE

14. What is your country of citizenship? (List/check more than one, if applicable. If you are a citizen of the United States, proceed to question 16.)

☐ Other (Specify)

☒ United States of America

15. If you are not a citizen of the United States, what is your U.S.-issued alien number or admission number?

Gov't 8

I certify that my answers to Section A are true, correct, and complete. I have read and understand the Notices, Instructions, and Definitions on ATF Form 4473. I understand that answering "yes" to question 11.a. if I am not the actual buyer is a crime punishable as a felony under Federal law, and may also violate State and/or local law. I understand that a person who answers "yes" to any of the questions 11.b. through 11.k. is prohibited from purchasing or receiving a firearm. I understand that a person who answers "yes" to question 11.l. is prohibited from purchasing or receiving a firearm, unless the person also answers "Yes" to question 12. I also understand that making any false oral or written statement, or exhibiting any false or misrepresented identification with respect to this transaction, is a crime punishable as a felony under Federal law, and may also violate State and/or local law. I further understand that the repetitive purchase of firearms for the purpose of resale for livelihood and profit without a Federal firearms license is a violation of law (See Instructions for Question 16).

16. Transferee's/Buyer's Signature 	17. Certification Date 11-06-2012
---	--------------------------------------

Section B - Must Be Completed By Transferor (Seller)

18. Type of firearm(s) to be transferred (check or mark all that apply): <input type="checkbox"/> Handgun <input checked="" type="checkbox"/> Long Gun (rifles or shotguns) <input type="checkbox"/> Other Firearm (Frame, Receiver, etc.) <small>See Instructions for Question 18.)</small>	19. If sale at a gun show or other qualifying event. Name of Event _____ City, State _____
--	--

20a. Identification (e.g., Virginia Driver's license (VA DL) or other valid government-issued photo identification.) (See Instructions for Question 20.a.)			
Issuing Authority and Type of Identification TENNESSEE DRIVER LICENSE	Number on Identification	Expiration Date of Identification (if any)	
		Month 04	Day 27 Year 2013

20b. Alternate Documentation (if driver's license or other identification document does not show current residence address) (See Instructions for Question 20.b.)

20c. Aliens Admitted to the United States Under a Nonimmigrant Visa Must Provide: Type of documentation showing an exception to the nonimmigrant visa prohibition. (See Instructions for Question 20.c.)

Questions 21, 22, or 23 Must Be Completed Prior To The Transfer Of The Firearm(s) (See Instructions for Questions 21, 22 and 23.)

21a. Date the transferee's identifying information in Section A was transmitted to NICS or the appropriate State agency: (Month/Day/Year) Month: 11 Day: 06 Year: 2012	21b. The NICS or State transaction number (if provided) was: 12W247866
---	---

21c. The response initially provided by NICS or the appropriate State agency was: <input type="checkbox"/> Proceed <input type="checkbox"/> Delayed <input checked="" type="checkbox"/> Denied [The firearm(s) may be transferred on _____ (Missing Disposition Information date provided by NICS) if State law permits (optional)] <input type="checkbox"/> Cancelled	21d. If initial NICS or State response was "Delayed," the following response was received from NICS or the appropriate State agency: <input type="checkbox"/> Proceed _____ (date) <input type="checkbox"/> Denied _____ (date) <input type="checkbox"/> Cancelled _____ (date) <input type="checkbox"/> No resolution was provided within 3 business days.
--	---

21e. (Complete if applicable.) After the firearm was transferred, the following response was received from NICS or the appropriate State agency on: _____ (date). ☐ Proceed ☐ Denied ☐ Cancelled

21f. The name and Brady identification number of the NICS examiner (Optional)
 _____ (name) _____ (number)

22. ☐ No NICS check was required because the transfer involved only National Firearms Act firearm(s). (See Instructions for Question 22.)

23. ☐ No NICS check was required because the buyer has a valid permit from the State where the transfer is to take place, which qualifies as an exemption to NICS (See Instructions for Question 23.)

Issuing State and Permit Type	Date of Issuance (if any)	Expiration Date (if any)	Permit Number (if any)
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Section C - Must Be Completed Personally By Transferee (Buyer)

If the transfer of the firearm(s) takes place on a different day from the date that the transferee (buyer) signed Section A, the transferee must complete Section C immediately prior to the transfer of the firearm(s). (See Instructions for Question 24 and 25.)

I certify that my answers to the questions in Section A of this form are still true, correct and complete.

24. Transferee's/Buyer's Signature	25. Recertification Date
------------------------------------	--------------------------

Transferor (Seller) Continue to Next Page
 STAPLE IF PAGES BECOME SEPARATED

Section D - Must Be Completed By Transferor (Seller)

26. Manufacturer and/or Importer (If the manufacturer and importer are different, the FFL should include both.)	27. Model	28. Serial Number	29. Type (pistol, revolver, rifle, shotgun, receiver, frame, etc.) (See instructions for question 29)	30. Caliber or Gauge
O.F. MOSSBERG AND SONS	MAUSEILK	MV84994S	SHOTGUN	12

30a. Total Number of Firearms (Please handwrite by printing e.g., one, two, three, etc. Do not use numerals.)

ONE

30b. Is any part of this transaction a Pawn Redemption? ☐ Yes ☒ No

30c. For Use by FFL (See Instructions for Question 30c.)

901 268-0973

Complete ATF Form 3310.4 For Multiple Purchases of Handguns Within 5 Consecutive Business Days

31. Trade/corporate name and address of transferor (seller) (Hand stamp may be used.)

SPORTING GOODS ETC
1000 W. TOWN PARKWAY
MEMPHIS, TN 38114

32. Federal Firearms License Number (Must contain at least first three and last five digits of FFL Number X-XX-XXXXX.) (Hand stamp may be used.)

FFL# P-62-157-01-3K-03207

The Person Transferring The Firearm(s) Must Complete Questions 33-36. For Denied/Cancelled Transactions, The Person Who Completed Section B Must Complete Questions 33-35.

I certify that my answers in Sections B and D are true, correct, and complete. I have read and understand the Notices, Instructions, and Definitions on ATF Form 4473. On the basis of: (1) the statements in Section A (and Section C if the transfer does not occur on the day Section A was completed); (2) my verification of the identification noted in question 20a (and my reverification at the time of transfer if the transfer does not occur on the day Section A was completed); and (3) the information in the current State Laws and Published Ordinances, it is my belief that it is not unlawful to sell, deliver, transport, or otherwise dispose of the firearm(s) listed on this form to the person identified in Section A. CP 11/06/20

33. Transferor's/Seller's Name (Please print)

MATTHEW HUEBNER

34. Transferor's/Seller's Signature

[Signature]

35. Transferor's/Seller's Title

LOAN ASSOCIATE

36. Date Transferred

11-06-2011

NOTICES, INSTRUCTIONS AND DEFINITIONS

Purpose of the Form: The information and certification on this form are designed so that a person licensed under 18 U.S.C. § 923 may determine if he or she may lawfully sell or deliver a firearm to the person identified in Section A, and to alert the buyer of certain restrictions on the receipt and possession of firearms. This form should only be used for sales or transfers where the seller is licensed under 18 U.S.C. § 923. The seller of a firearm must determine the lawfulness of the transaction and maintain proper records of the transaction. Consequently, the seller must be familiar with the provisions of 18 U.S.C. §§ 921-931 and the regulations in 27 CFR Part 478. In determining the lawfulness of the sale or delivery of a long gun (rifle or shotgun) to a resident of another State, the seller is presumed to know the applicable State laws and published ordinances in both the seller's State and the buyer's State.

After the seller has completed the firearms transaction, he or she must make the completed, original ATF Form 4473 (which includes the Notices, General Instructions, and Definitions), and any supporting documents, part of his or her permanent records. Such Forms 4473 must be retained for at least 20 years. Filing may be chronological (by date), alphabetical (by name), or numerical (by transaction serial number), as long as all of the seller's completed Forms 4473 are filed in the same manner. **FORMS 4473 FOR DENIED/CANCELLED TRANSFERS MUST BE RETAINED:** If the transfer of a firearm is denied/cancelled by NICS, or if for any other reason the transfer is not complete after a NICS check is initiated, the licensee must retain the ATF Form 4473 in his or her records for at least 5 years. Forms 4473 with respect to which a sale, delivery, or transfer did not take place shall be separately retained in alphabetical (by name) or chronological (by date of transferee's certification) order.

If you or the buyer discover that an ATF Form 4473 is incomplete or improperly completed after the firearm has been transferred, and you or the buyer wish to make a record of your discovery, then photocopy the inaccurate form and make any necessary additions or revisions to the photocopy. You only should make changes to Sections B and D. The buyer should only make changes to Sections and C. Whoever made the changes should initial and date the changes. The corrected photocopy should be attached to the original Form 4473 and retained part of your permanent records.

Over-the-Counter Transaction: The sale or other disposition of a firearm by a seller to a buyer, at the seller's licensed premises. This includes the sale or other disposition of a rifle or shotgun to a nonresident buyer on such premises.

State Laws and Published Ordinances: The publication (ATF P 5300.5) of State firearms laws and local ordinances ATF distributes to licensees.

Exportation of Firearms: The State or Commerce Departments may require you to obtain a license prior to export.

Section A

Question 1. Transferee's Full Name: The buyer must personally complete Section A of this form and certify (sign) that the answers are true, correct, and complete. However, if the buyer is unable to read and/or write, the answers (other than the signature) may be completed by another person, excluding the seller. Two persons (other than the seller) must then sign as witnesses to buyer's answers and signature.

When the buyer of a firearm is a corporation, company, association, partnership or other such business entity, an officer authorized to act on behalf of the

INSTANT
CHECK SYSTEM



TENNESSEE INSTANT CHECK SYSTEM

Transaction Date/Time: 11/6/12 11:40 am

Purchaser's Name: BRADY, JASON

Approved / Pending: PENDING

NOTE: DENIED TRANSACTION # 12W247866

5015

[illegible]

QUALITY **RELIABILITY** **PROFESSIONALISM**

[illegible]

THE UNIVERSITY OF CHICAGO

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COVER

U.S. Department of Justice
Bureau of Alcohol, Tobacco, Firearms and Explosives

Firearms Transaction Record Part I - Over-the-Counter

WARNING: You may not receive a firearm if prohibited by Federal or State law. The information you provide will be used to determine whether you are prohibited under law from receiving a firearm. Certain violations of the Gun Control Act, 18 U.S.C. §§ 921 *et seq.*, are punishable by up to 10 years imprisonment and/or up to a \$250,000 fine.

Transferor's Transaction
Serial Number (If any)

Prepare in original only. All entries must be handwritten in ink. Read the Notices, Instructions, and Definitions on this form. "PLEASE PRINT."

Section A - Must Be Completed Personally By Transferee (Buyer)

1. Transferee's Full Name
Last Name **BRADY** First Name **LAURA** Middle Name (If no middle name, state "NMN") **CAROLYN**

2. Current Residence Address (U.S. Postal abbreviations are acceptable. Cannot be a post office box.)
Number and Street Address **70 GROVE OAK ST** City **MEMPHIS** County **SHELBY** State **TN** ZIP Code **38120**

3. Place of Birth
U.S. City and State **MEMPHIS, TN** -OR- Foreign Country
4. Height
Ft. **5** In. **3 1/2**
5. Weight
(Lbs.) **125**
6. Gender
☐ Male ☒ Female
7. Birth Date
Month Day Year

8. Social Security Number (Optional, but will help prevent misidentification)
9. Unique Personal Identification Number (UPIN) if applicable (See Instructions for Question 9.)

10.a. Ethnicity

☐ Hispanic or Latino
☒ Not Hispanic or Latino

10.b. Race (Check one or more boxes.)

☐ American Indian or Alaska Native ☐ Black or African American ☒ White
☐ Asian ☐ Native Hawaiian or Other Pacific Islander

11. Answer questions 11.a (see exceptions) through 11.i and 12 (if applicable) by checking or marking "yes" or "no" in the boxes to the right of the questions.

a. Are you the actual transferee/buyer of the firearm(s) listed on this form? Warning: You are not the actual buyer if you are acquiring the firearm(s) on behalf of another person. If you are not the actual buyer, the dealer cannot transfer the firearm(s) to you. (See Instructions for Question 11.a.) Exception: If you are picking up a repaired firearm(s) for another person, you are not required to answer 11.a. and may proceed to question 11.b.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
b. Are you under indictment or information in any court for a felony, or any other crime, for which the judge could imprison you for more than one year? (See Instructions for Question 11.b.)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
c. Have you ever been convicted in any court of a felony, or any other crime, for which the judge could have imprisoned you for more than one year, even if you received a shorter sentence including probation? (See Instructions for Question 11.c.)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
d. Are you a fugitive from justice?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
e. Are you an unlawful user of, or addicted to, marijuana or any depressant, stimulant, narcotic drug, or any other controlled substance?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
f. Have you ever been adjudicated mentally defective (which includes a determination by a court, board, commission, or other lawful authority that you are a danger to yourself or to others or are incompetent to manage your own affairs) OR have you ever been committed to a mental institution? (See Instructions for Question 11.f.)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
g. Have you been discharged from the Armed Forces under dishonorable conditions?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
h. Are you subject to a court order restraining you from harassing, stalking, or threatening your child or an intimate partner or child of such partner? (See Instructions for Question 11.h.)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
i. Have you ever been convicted in any court of a misdemeanor crime of domestic violence? (See Instructions for Question 11.i.)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
j. Have you ever renounced your United States citizenship?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
k. Are you an alien illegally in the United States?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
l. Are you an alien admitted to the United States under a nonimmigrant visa? (See Instructions for Question 11.l.) If you answered "no" to this question, do NOT respond to question 12 and proceed to question 13.	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
12. If you are an alien admitted to the United States under a nonimmigrant visa, do you fall within any of the exceptions set forth in the instructions? (If "yes," the licensee must complete question 20c.) (See Instructions for Question 12.) If question 11.l is answered with a "no" response, then do NOT respond to question 12 and proceed to question 13.	Yes <input type="checkbox"/>	No <input type="checkbox"/>

13. What is your State of residence (if any)? (See Instructions for Question 13.)
Tennessee

14. What is your country of citizenship? (List/check more than one, if applicable. If you are a citizen of the United States, proceed to question 16.)
☒ United States of America
☐ Other (Specify)

15. If you are not a citizen of the United States, what is your U.S.-issued alien number or admission number? **Gov't 10**

I certify that my answers to Section A are true, correct, and complete. I have read and understand the Notices, Instructions, and Definitions on ATF Form 4473. I understand that answering "yes" to question 11.a. if I am not the actual buyer is a crime punishable as a felony under Federal law, and may also violate State and/or local law. I understand that a person who answers "yes" to any of the questions 11.b. through 11.k. is prohibited from purchasing or receiving a firearm. I understand that a person who answers "yes" to question 11.l. is prohibited from purchasing or receiving a firearm, unless the person also answers "Yes" to question 12. I also understand that making any false oral or written statement, or exhibiting any false or misrepresented identification with respect to this transaction, is a crime punishable as a felony under Federal law, and may also violate State and/or local law. I further understand that the repetitive purchase of firearms for the purpose of resale for livelihood and profit without a Federal firearms license is a violation of law (See Instructions for Question 16).

16. Transferee's/Buyer's Signature

Laura Brady

17. Certification Date

11/06/2012

Section B - Must Be Completed By Transferor (Seller)

18. Type of firearm(s) to be transferred (check or mark all that apply):

☐ Handgun ☒ Long Gun (rifles or shotguns) ☐ Other Firearm (Frame, Receiver, etc. See Instructions for Question 18.)

19. If sale at a gun show or other qualifying event.

Name of Event

City, State

20a. Identification (e.g., Virginia Driver's license (VA DL) or other valid government-issued photo identification.) (See Instructions for Question 20.a.)

Issuing Authority and Type of Identification

Number on Identification

Expiration Date of Identification (if any)

Month

Day

Year

12

22

2012

20b. Alternate Documentation (if driver's license or other identification document does not show current residence address) (See Instructions for Question 20.b.)

20c. Aliens Admitted to the United States Under a Nonimmigrant Visa Must Provide: Type of documentation showing an exception to the nonimmigrant visa prohibition. (See Instructions for Question 20.c.)

Questions 21, 22, or 23 Must Be Completed Prior To The Transfer Of The Firearm(s) (See Instructions for Questions 21, 22 and 23.)

21a. Date the transferee's identifying information in Section A was transmitted to NICS or the appropriate State agency: (Month/Day/Year)

Month

Day

Year

11

06

2012

21b. The NICS or State transaction number (if provided) was:

12W24B613

21c. The response initially provided by NICS or the appropriate State agency was:

☒ Proceed ☐ Delayed

☐ Denied

☐ Cancelled

[The firearm(s) may be transferred on

_____ (Missing Disposition

Information date provided by NICS) if State law permits (optional)]

21d. If initial NICS or State response was "Delayed," the following response was received from NICS or the appropriate State agency:

☐ Proceed _____ (date)

☐ Denied _____ (date)

☐ Cancelled _____ (date)

☐ No resolution was provided within 3 business days.

21e. (Complete if applicable.) After the firearm was transferred, the following response was received from NICS or the appropriate State agency on: _____ (date). ☐ Proceed ☐ Denied ☐ Cancelled

21f. The name and Brady identification number of the NICS examiner (Optional)

_____ (name)

_____ (number)

22. ☐ No NICS check was required because the transfer involved only National Firearms Act firearm(s). (See Instructions for Question 22.)

23. ☐ No NICS check was required because the buyer has a valid permit from the State where the transfer is to take place, which qualifies as an exemption to NICS (See Instructions for Question 23.)

Issuing State and Permit Type

Date of Issuance (if any)

Expiration Date (if any)

Permit Number (if any)

Section C - Must Be Completed Personally By Transferee (Buyer)

If the transfer of the firearm(s) takes place on a different day from the date that the transferee (buyer) signed Section A, the transferee must complete Section C immediately prior to the transfer of the firearm(s). (See Instructions for Question 24 and 25.)

I certify that my answers to the questions in Section A of this form are still true, correct and complete.

24. Transferee's/Buyer's Signature

25. Recertification Date

Transferor (Seller) Continue to Next Page
STAPLE IF PAGES BECOME SEPARATED

Section D - Must Be Completed By Transferor (Seller)

26. Manufacturer and/or Importer (If the manufacturer and importer are different, the FFL should include both.)	27. Model	28. Serial Number	29. Type (pistol, revolver, rifle, shotgun, receiver, frame, etc.) (See instructions for question 29)	30. Caliber or Gauge
OF MOSSBERG and SONS	BB	MVB4994S	SHOTGUN	12
30a. Total Number of Firearms (Please handwritten by printing e.g., one, two, three, etc. Do not use numerals.)			30b. Is any part of this transaction a Pawn Redemption? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
ONE				

30c. For Use by FFL (See Instructions for Question 30c.)

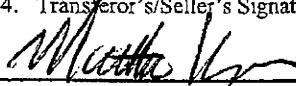
901 491 1262

Complete ATF Form 3310.4 For Multiple Purchases of Handguns Within 5 Consecutive Business Days

31. Trade/corporate name and address of transferor (seller) (Hand stamp may be used.) D.C. S. SP... 2000 N.	32. Federal Firearms License Number (Must contain at least first three and last five digits of FFL Number X-XX-XXXXX.) (Hand stamp may be used.) FFL# 1-62-157-01-3K-03207
---	---

The Person Transferring The Firearm(s) Must Complete Questions 33-36. For Denied/Cancelled Transactions, The Person Who Completed Section B Must Complete Questions 33-35.

I certify that my answers in Sections B and D are true, correct, and complete. I have read and understand the Notices, Instructions, and Definitions on ATF Form 4473. On the basis of: (1) the statements in Section A (and Section C if the transfer does not occur on the day Section A was completed); (2) my verification of the identification noted in question 20a (and my reverification at the time of transfer if the transfer does not occur on the day Section A was completed); and (3) the information in the current State Laws and Published Ordinances, it is my belief that it is not unlawful for me to sell, deliver, transport, or otherwise dispose of the firearm(s) listed on this form to the person identified in Section A.

33. Transferor's/Seller's Name (Please print) MATT LEW KUEGAR	34. Transferor's/Seller's Signature 	35. Transferor's/Seller's Title LOONE ASSOCIATE	36. Date Transferred 11-06-2012
--	--	--	------------------------------------

NOTICES, INSTRUCTIONS AND DEFINITIONS

Purpose of the Form: The information and certification on this form are designed so that a person licensed under 18 U.S.C. § 923 may determine if he or she may lawfully sell or deliver a firearm to the person identified in Section A, and to alert the buyer of certain restrictions on the receipt and possession of firearms. This form should only be used for sales or transfers where the seller is licensed under 18 U.S.C. § 923. The seller of a firearm must determine the lawfulness of the transaction and maintain proper records of the transaction. Consequently, the seller must be familiar with the provisions of 18 U.S.C. §§ 921-931 and the regulations in 27 CFR Part 478. In determining the lawfulness of the sale or delivery of a long gun (rifle or shotgun) to a resident of another State, the seller is presumed to know the applicable State laws and published ordinances in both the seller's State and the buyer's State.

If you or the buyer discover that an ATF Form 4473 is incomplete or improperly completed after the firearm has been transferred, and you or the buyer wish to make a record of your discovery, then photocopy the inaccurate form and make any necessary additions or revisions to the photocopy. You only should make changes to Sections B and D. The buyer should only make changes to Sections A and C. Whoever made the changes should initial and date the changes. The corrected photocopy should be attached to the original Form 4473 and retained as part of your permanent records.

Over-the-Counter Transaction: The sale or other disposition of a firearm by a seller to a buyer, at the seller's licensed premises. This includes the sale or other disposition of a rifle or shotgun to a nonresident buyer on such premises.

State Laws and Published Ordinances: The publication (ATF P 5300.5) of State firearms laws and local ordinances ATF distributes to licensees.

Exportation of Firearms: The State or Commerce Departments may require you to obtain a license prior to export.

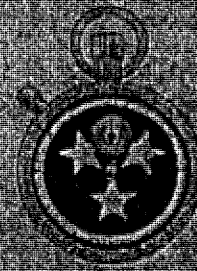
After the seller has completed the firearms transaction, he or she must make the completed, original ATF Form 4473 (which includes the Notices, General Instructions, and Definitions), and any supporting documents, part of his or her permanent records. Such Forms 4473 must be retained for at least 20 years. Filing may be chronological (by date), alphabetical (by name), or numerical (by transaction serial number), as long as all of the seller's completed Forms 4473 are filed in the same manner. **FORMS 4473 FOR DENIED/CANCELLED TRANSFERS MUST BE RETAINED:** If the transfer of a firearm is denied/cancelled by NICS, or if for any other reason the transfer is not complete after a NICS check is initiated, the licensee must retain the ATF Form 4473 in his or her records for at least 5 years. Forms 4473 with respect to which a sale, delivery, or transfer did not take place shall be separately retained in alphabetical (by name) or chronological (by date of transferee's certification) order.

Section A

Question 1. Transferee's Full Name: The buyer must personally complete Section A of this form and certify (sign) that the answers are true, correct, and complete. However, if the buyer is unable to read and/or write, the answers (other than the signature) may be completed by another person, excluding the seller. Two persons (other than the seller) must then sign as witnesses to the buyer's answers and signature.

When the buyer of a firearm is a corporation, company, association, partnership, or other such business entity, an officer authorized to act on behalf of the

TENNESSEE INSTANT
CHECK SYSTEM



12W248613


11/6/12 3:12 pm

BRADY, LAURA

APPROVED: 12W248613

Firearm Sign-Off Sheet

Step 1: Selling Associate. Use the Firearms Review Template to verify Sections A and B on the F4473 are complete and review the Denied/Delay Log for possible straw purchase. If all information is correct and there is no evidence of straw purchase, acknowledge by signing in the space provided. Complete Step 1 before initiating the NTN/OPC background check.


Selling Associate's Signature
MATTHEW LAWRENCE
Legibly Print Selling Associate's Name
11-06-2012
Date

Step 2: Selling Associate. Once the background check is complete, verify the NTN is recorded on the F4473. Using the Firearms Review Template, confirm all required information is recorded in Sections C and D. If all items are present and correct, acknowledge by signing in the space provided.


Selling Associate's Signature
11-06-2012
Date

Step 3: Manager on Duty. Use the Firearms Review Template to verify Sections A, B, C and D on the F4473 are correct. Verify the Safe Handling Form and all state required forms (if applicable) are completed. Acknowledge by signing in the space provided. This step must be completed prior to processing the transaction in PDS.


Manager's Signature
J. Wade
Legibly Print Manager's Name
11/6/12
Date

Step 4: Cashier. Print a duplicate receipt for the firearm transaction. Acknowledge completion by signing in the space provided.


Cashier's Signature
J. Wade
Legibly Print Cashier's Name
11-06-2012
Date

Step 5: Manager or Lead Logging Firearm Out of GLS. While logging the firearm out of GLS, review the F4473 using the Firearms Review Template, and all attachments to confirm all information are present and correct. Acknowledge completion by signing in the space provided. Immediately take the firearm paperwork directly to the sealed gun room and file.


Manager or Lead's Signature
J. Wade
Legibly Print Manager or Lead's Name
11/6/12
Date

Step 6: Store Manager. Use the Firearms Review Template to verify all sections of the F4473 are correct, confirm all attachments are present and correct. Acknowledge completion by signing in the space provided. This must be completed within 24 hours of the firearm being purchased.


Store Manager's Signature
J. Wade
Legibly Print Store Manager's Name
11/6/12
Date

For Following Compliance with the FBI's Gun Buyback Program, the NEVADA/ESAR or DIV will Report:


Buyer's Signature


Buyer's Signature

TICS file

12W247866	03207	DICK'S SPORTING GOODS, INC. (STORE # 375)	06-Nov-12	DENIED	Adjudicated Mental Defective	1	jason brady
12W247884	03207	DICK'S SPORTING GOODS, INC. (STORE # 375)	06-Nov-12	APPROVED		1	
12W248507	03207	DICK'S SPORTING GOODS, INC. (STORE # 375)	06-Nov-12	APPROVED		1	
12W248519	03207	DICK'S SPORTING GOODS, INC. (STORE # 375)	06-Nov-12	APPROVED		1	
12W248613	03207	DICK'S SPORTING GOODS, INC. (STORE # 375)	06-Nov-12	APPROVED		1	laura brady

Acknowledgement of Federal Firearms Regulations

Page references are in ATF P 5300.4** (Sept. 2005)

Licensee Name:	UI Number:
Dick's Sporting Goods, Inc. d/b/a Dick's Sporting Goods, Inc. (#375)	776055-2013-0255-B1B

TOPIC	18 U.S.C., 27 CFR & Other References	Page Number
1. REQUIRED RECORDS & REPORTS		
<input checked="" type="checkbox"/> Acquisition and Disposition Record	478.125(e)	66
<input checked="" type="checkbox"/> Computerized Acquisition and Disposition Record	ATF Ruling 2008-2	
<input checked="" type="checkbox"/> Transaction Record/ATF F 4473**	478.124	63-65
<input checked="" type="checkbox"/> Identification Document	478.11	37
<input checked="" type="checkbox"/> Report of Multiple Handgun Sales/ATF F 3310.4**	478.126a	68
<input checked="" type="checkbox"/> Report of Multiple Rifle Sales/ATF F 3310.12** (CA, AZ, NM, and TX FFLs ONLY)	923(g)(5)(A) & Demand Letter 3	18
<input checked="" type="checkbox"/> Reporting Thefts or Losses/ATF F 3310.11**	478.39a	44
<input checked="" type="checkbox"/> Retention of Records	478.129	68-69
2. CONDUCT OF BUSINESS		
<input checked="" type="checkbox"/> Firearm Frame or Receiver	478.11	36
<input checked="" type="checkbox"/> NICS Requirements	478.102 & 478.131	54-55 & 69
<input checked="" type="checkbox"/> Secure Gun Storage or Safety Device	921(a), 922(z), & 923(d)(1)(G)	4 & 15-16
<input checked="" type="checkbox"/> Child Safety Lock Act	18 U.S.C. 922(z)	15-16
<input checked="" type="checkbox"/> Sales or Deliveries between Licensees	478.94 & 478.95	52
<input checked="" type="checkbox"/> FFL EZ Check	www.atfonline.gov/fflezcheck	
<input checked="" type="checkbox"/> Gun Show Guidelines**	478.100	54
<input checked="" type="checkbox"/> Out of State/Mail Order and Internet Sales	478.96	52
<input checked="" type="checkbox"/> Prohibited Sales and Deliveries	478.99	53-54
<input checked="" type="checkbox"/> Ammunition - Age Requirements for Handgun Ammunition	478.99(b)(1)	53
<input checked="" type="checkbox"/> Sales to Law Enforcement Officers	478.134	69-70
<input checked="" type="checkbox"/> Youth Handgun Safety Act- Sales of Handguns / Poster and Notices**	478.103	55-56
<input checked="" type="checkbox"/> Obliterated Serial Number	478.34	43
<input checked="" type="checkbox"/> Short Barreled Rifle & Shotgun	478.11	39
3. LICENSES		
<input checked="" type="checkbox"/> Engaged in the Business	478.11	36
<input checked="" type="checkbox"/> Correction of Error	478.48	48
<input checked="" type="checkbox"/> Posting of License	478.91	50
<input checked="" type="checkbox"/> Renewal/Duration	478.45 & 478.49	47 & 48
<input checked="" type="checkbox"/> Premises Covered	478.50	48
<input checked="" type="checkbox"/> Reporting Changes of Address / ATF F 5300.38**	478.52	48
<input checked="" type="checkbox"/> Reporting Changes in Trade Name	478.53	48
<input checked="" type="checkbox"/> Reporting Changes of Control	478.54	48
<input checked="" type="checkbox"/> Discontinuance of Business	478.57 & 478.127	49 & 68
4. MISCELLANEOUS PROVISIONS		
<input checked="" type="checkbox"/> Right of Entry and Examination	478.23	40
<input checked="" type="checkbox"/> Tracing Request from ATF	478.25a	41
<input checked="" type="checkbox"/> "Straw" Purchase	478.128 & General Info. # 15	68 & 165
<input checked="" type="checkbox"/> Curios or Relics / ATF P 5300.11**	478.11	35
<input checked="" type="checkbox"/> Antique Firearm	478.11	35-36
<input checked="" type="checkbox"/> Compliance with State Law Publication / ATF P 5300.5**	478.24	40-41
<input checked="" type="checkbox"/> Consignment of Firearms	478.124(a), Q&A Section F15,	63 & 182-183
<input checked="" type="checkbox"/> Personal Firearms / ATF P 3312.8**	478.125a	67
<input checked="" type="checkbox"/> Firearm Transportation	478.38	44
5. STATE LAWS AND LOCAL ORDINANCES		
<input checked="" type="checkbox"/> Review of basic requirements including additional licenses, waiting periods, concealed carry permits, and firearms permits.		
6. GUNSMITH ACTIVITIES	N/A <input type="checkbox"/>	
<input checked="" type="checkbox"/> Gunsmithing Definition	478.11 - Engaged in the business (d)	36
<input checked="" type="checkbox"/> Gunsmith Recordkeeping	478.124(a) & .125(e), ATF Ruling 77-1	63,66 & 125-126
<input checked="" type="checkbox"/> Return of Repaired Firearm	478.124(a), Q&A Section I	63 & 184
<input checked="" type="checkbox"/> Firearms & Ammunition Excise Tax - Contact Tax & Trade Bureau	www.ftb.gov/firearms	877-882-3277

Acknowledgement of Federal Firearms Regulations

Page references are in ATF P 5300.4** (Sept. 2005)

Licensee Name: Dick's Sporting Goods, Inc. d/b/a Dick's Sporting Goods, Inc. (#375)	UI Number: 776055-2013-0255-B1B
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TOPIC	18 U.S.C., 27 CFR & Other References	Page Number
7. FIREARMS & AMMUNITION MANUFACTURERS	N/A <input type="checkbox"/>	
<input checked="" type="checkbox"/> Manufacturer Definition	478.11 and 479.11	37 & 82
<input checked="" type="checkbox"/> Markings	478.92 & 479.102	50-51 & 91-92
<input checked="" type="checkbox"/> Records	478.123 and 478.125(i)	63 & 184
<input checked="" type="checkbox"/> Annual Firearms Manufacturing & Exportation Report / ATF F 5300.11**		
<input checked="" type="checkbox"/> Firearms & Ammunition Excise Tax-Contact Tax & Trade Bureau	www.ttb.gov/firearms	877-882-3277
<input checked="" type="checkbox"/> NFA Firearms	479.103	92
<input checked="" type="checkbox"/> Special Occupational Tax / ATF F 5630.7**	479.31-479.37	84-86
8. NFA DEALER	N/A <input type="checkbox"/>	
<input checked="" type="checkbox"/> Authorized Operations	ATF Ruling 76-22	125
<input checked="" type="checkbox"/> NFA Firearms	Part 479	79-97
<input checked="" type="checkbox"/> General Information / ATF P 5320.8**	Q&A Section M	186-189
<input checked="" type="checkbox"/> Forms used to transfer NFA items	NFA Forms 1,2,3,4 & 5**	
<input checked="" type="checkbox"/> Special Occupational Tax / ATF F 5630.7**	479.31-479.37	84-86
9. IMPORTER	N/A <input type="checkbox"/>	
<input checked="" type="checkbox"/> Importer Definition	478.11	37
<input checked="" type="checkbox"/> Importation Acquisition & Disposition Record	478.122 and 478.125(i)	62 & 67
<input checked="" type="checkbox"/> Markings	478.92 & 479.102	50-51 & 91-92
<input checked="" type="checkbox"/> ATF Forms 6 and 6A**	478.112	57-58
<input checked="" type="checkbox"/> Firearm & Ammunition Excise Tax-Contact Tax & Trade Bureau	www.ttb.gov/firearms	877-882-3277
<input checked="" type="checkbox"/> NFA Firearms	479.111-479.113	93-95
10. EXPORTATION	N/A <input type="checkbox"/>	
<input checked="" type="checkbox"/> Arms Export Control Act of 1976	22 U.S.C. 2778	98-100
11. SCHOOL ZONE	N/A <input type="checkbox"/>	
<input checked="" type="checkbox"/> If the FFL's premises falls within a school zone, firearms in possession of FFL's customers must be unloaded and placed in a locked container or in a locked firearms rack that is on a motor vehicle. Also, the FFL should use specific means to ensure that their customers are not in violation of 18 U.S.C. 922(q). For example, the FFL could advise the customer of State permits/license options or the use of lockable containers. Refer to 18 U.S.C. 921(a)25 on page 7 for the full definition of "School Zone".	ATF P 5310.1**	
12. GENERAL QUESTIONS AND ANSWERS		169-201

Investigator T. Williams explained this information to me on 6/18/2013 and answered my questions regarding this information. I have received a copy of this for my records as a reference. I understand that this is only a general overview of the regulations and that I will be responsible for familiarizing myself with all of the laws and regulations governing my licensed firearms business.

Chris F. [Signature] 06/18/2013
R. [Signature] 6-18-2013

Applicant's/Licensee's Signature and Date
Memphis 901-334-5600, Nashville II 615-565-1420

[Signature] 6/18/13
ATF Investigator Signature and Date

ATF Website: www.atf.gov

ATF Office Contact #: (901-334-5619 direct)

Additional ATF Publications**

ATF P 3317.2 - Safety Security Information for Federal Firearms Licensees

ATF P 5300.15 - Federal Firearms Licensee Quick Reference and Best Practices Guide

Federal Firearms Licensing Center	866-662-2750
Firearms Tracing Center	800-788-7133
Firearms Imports Branch	304-616-4550
National Firearms Act (NFA) Branch	304-616-4500
Firearms Technology Branch	304-260-1699
Firearms Industry Programs Branch	202-648-7190
Distribution Center / Forms	202-648-6420
REPORTING THEFTS	888-930-9275
	800-800-3855

Revised 1/28/2013

Firearms Transaction Record Part I - Over-the-Counter

WARNING: You may not receive a firearm if prohibited by Federal or State law. The information you provide will be used to determine whether you are prohibited under law from receiving a firearm. Certain violations of the Gun Control Act, 18 U.S.C. §§ 921 et. seq., are punishable by up to 10 years imprisonment and/or up to a \$250,000 fine.

Transferor's Transaction
Serial Number (If any)

Prepare in original only. All entries must be handwritten in ink. Read the Notices, Instructions, and Definitions on this form. "PLEASE PRINT."

Section A - Must Be Completed Personally By Transferee (Buyer)

1. Transferee's Full Name
Last Name First Name Middle Name (If no middle name, state "NMN")

2. Current Residence Address (U.S. Postal abbreviations are acceptable. Cannot be a post office box.)

Number and Street Address City County State ZIP Code

3. Place of Birth U.S. City and State -OR- Foreign Country 4. Height Ft. In. 5. Weight (Lbs.) 6. Gender ☐ Male ☐ Female 7. Birth Date Month Day Year

8. Social Security Number (Optional, but will help prevent misidentification) 9. Unique Personal Identification Number (UPIN) if applicable (See Instructions for Question 9.)

10.a. Ethnicity ☐ Hispanic or Latino ☐ Not Hispanic or Latino 10.b. Race (Check one or more boxes.) ☐ American Indian or Alaska Native ☐ Black or African American ☐ White ☐ Asian ☐ Native Hawaiian or Other Pacific Islander

11. Answer questions 11.a. (see exceptions) through 11.i. and 12 (if applicable) by checking or marking "yes" or "no" in the boxes to the right of the questions.

a. Are you the actual transferee/buyer of the firearm(s) listed on this form? Warning: You are not the actual buyer if you are acquiring the firearm(s) on behalf of another person. If you are not the actual buyer, the dealer cannot transfer the firearm(s) to you. (See Instructions for Question 11.a.) Exception: If you are picking up a repaired firearm(s) for another person, you are not required to answer 11.a. and may proceed to question 11.b.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
b. Are you under indictment or information in any court for a felony , or any other crime, for which the judge could imprison you for more than one year? (See Instructions for Question 11.b.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
c. Have you ever been convicted in any court of a felony , or any other crime, for which the judge could have imprisoned you for more than one year, even if you received a shorter sentence including probation? (See Instructions for Question 11.c.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
d. Are you a fugitive from justice?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
e. Are you an unlawful user of, or addicted to, marijuana or any depressant, stimulant, narcotic drug, or any other controlled substance?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
f. Have you ever been adjudicated mentally defective (which includes a determination by a court, board, commission, or other lawful authority that you are a danger to yourself or to others or are incompetent to manage your own affairs) OR have you ever been committed to a mental institution? (See Instructions for Question 11.f.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
g. Have you been discharged from the Armed Forces under dishonorable conditions?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
h. Are you subject to a court order restraining you from harassing, stalking, or threatening your child or an intimate partner or child of such partner? (See Instructions for Question 11.h.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
i. Have you ever been convicted in any court of a misdemeanor crime of domestic violence? (See Instructions for Question 11.i.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
j. Have you ever renounced your United States citizenship?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
k. Are you an alien illegally in the United States?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
l. Are you an alien admitted to the United States under a nonimmigrant visa? (See Instructions for Question 11.l.) If you answered "no" to this question, do NOT respond to question 12 and proceed to question 13.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
12. If you are an alien admitted to the United States under a nonimmigrant visa, do you fall within any of the exceptions set forth in the instructions? (If "yes," the licensee must complete question 20c.) (See Instructions for Question 12.) If question 11.l. is answered with a "no" response, then do NOT respond to question 12 and proceed to question 13.	Yes <input type="checkbox"/>	No <input type="checkbox"/>

13. What is your State of residence (if any)? (See Instructions for Question 13.) 14. What is your country of citizenship? (List/check more than one, if applicable. If you are a citizen of the United States, proceed to question 16.) ☐ United States of America ☐ Other (Specify) 15. If you are not a citizen of the United States, what is your U.S.-issued alien number or admission number?

Yout 14

16. Transferee's/Buyer's Signature	17. Certification Date
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18. Type of firearm(s) to be transferred (*check or mark all that apply*):
☐ Handgun ☐ Long Gun ☐ Other Firearm (*Frame, Receiver, etc.*
 (*rifles or shotguns*) See Instructions for Question 18.)

19. If sale at a gun show or other qualifying event.
 Name of Event _____
 City, State _____

20a. Identification (e.g., Virginia Driver's license (VA DL) or other valid government-issued photo identification.) (See Instructions for Question 20.a.)				
Issuing Authority and Type of Identification	Number on Identification	Expiration Date of Identification (if any)		
		Month	Day	Year

20b. Alternate Documentation (if driver's license or other identification document does not show current residence address) (See Instructions for Question 20.b.)

20c. Aliens Admitted to the United States Under a Nonimmigrant Visa Must Provide: Type of documentation showing an exception to the nonimmigrant visa prohibition. (See Instructions for Question 20.c.)

<p>21a. Date the transferee's identifying information in Section A was transmitted to NICS or the appropriate State agency: <i>(Month/Day/Year)</i></p> <table border="1"> <tr> <td>Month</td> <td>Day</td> <td>Year</td> </tr> <tr> <td></td> <td></td> <td></td> </tr> </table>			Month	Day	Year				<p>21b. The NICS or State transaction number <i>(if provided)</i> was:</p>
Month	Day	Year							

<p>21c. The response initially provided by NICS or the appropriate State agency was:</p> <p> <input type="checkbox"/> Proceed <input type="checkbox"/> Delayed <input type="checkbox"/> Denied <i>[The firearm(s) may be transferred on _____ (Missing Disposition Information date provided by NICS) if State law permits (optional)]</i> <input type="checkbox"/> Cancelled </p>	<p>21d. If initial NICS or State response was "Delayed," the following response was received from NICS or the appropriate State agency:</p> <p> <input type="checkbox"/> Proceed _____ (date) <input type="checkbox"/> Denied _____ (date) <input type="checkbox"/> Cancelled _____ (date) <input type="checkbox"/> No resolution was provided within 3 business days. </p>
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21e. (Complete if applicable.) After the firearm was transferred, the following response was received from NICS or the appropriate State agency on: _____ (date). ☐ Proceed ☐ Denied ☐ Cancelled

21f. The name and Brady identification number of the NICS examiner (Optional)

(name) (number)

22. ☐ No NICS check was required because the transfer involved only National Firearms Act firearm(s). (See Instructions for Question 22.)

23. ☐ No NICS check was required because the buyer has a valid permit from the State where the transfer is to take place, which qualifies as an exemption to NICS (See *Instructions for Question 23.*)

Issuing State and Permit Type	Date of Issuance (if any)	Expiration Date (if any)	Permit Number (if any)
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If the transfer of the firearm(s) takes place on a different day from the date that the transferee (buyer) signed Section A, the transferee must complete Section C immediately prior to the transfer of the firearm(s). (See Instructions for Question 24 and 25.)

I certify that my answers to the questions in Section A of this form are still true, correct and complete.

24. Transferee's/Buyer's Signature	25. Recertification Date
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Page 2 of 6

Section D - Must Be Completed By Transferor (Seller)

26. Manufacturer and/or Importer (<i>If the manufacturer and importer are different, the FFL should include both.</i>)	27. Model	28. Serial Number	29. Type (<i>pistol, revolver, rifle, shotgun, receiver, frame, etc.</i>) (<i>See instructions for question 29</i>)	30. Caliber or Gauge

30a. Total Number of Firearms (*Please handwritten by printing e.g., one, two, three, etc. Do not use numerals.*)

30b. Is any part of this transaction a Pawn Redemption? ☐ Yes ☐ No

30c. For Use by FFL (*See Instructions for Question 30c.*)

Complete ATF Form 3310.4 For Multiple Purchases of Handguns Within 5 Consecutive Business Days

31. Trade/corporate name and address of transferor (*seller*) (*Hand stamp may be used.*)

32. Federal Firearms License Number (*Must contain at least first three and last five digits of FFL Number X-XX-XXXXX.*) (*Hand stamp may be used.*)

The Person Transferring The Firearm(s) Must Complete Questions 33-36. For Denied/Cancelled Transactions, The Person Who Completed Section B Must Complete Questions 33-35.

I certify that my answers in Sections B and D are true, correct, and complete. I have read and understand the Notices, Instructions, and Definitions on ATF Form 4473. On the basis of: (1) the statements in Section A (and Section C if the transfer does not occur on the day Section A was completed); (2) my verification of the identification noted in question 20a (and my reverification at the time of transfer if the transfer does not occur on the day Section A was completed); and (3) the information in the current State Laws and Published Ordinances, it is my belief that it is not unlawful for me to sell, deliver, transport, or otherwise dispose of the firearm(s) listed on this form to the person identified in Section A.

33. Transferor's/Seller's Name (*Please print*)

34. Transferor's/Seller's Signature

35. Transferor's/Seller's Title

36. Date Transferred

NOTICES, INSTRUCTIONS AND DEFINITIONS

Purpose of the Form: The information and certification on this form are designed so that a person licensed under 18 U.S.C. § 923 may determine if he or she may lawfully sell or deliver a firearm to the person identified in Section A, and to alert the buyer of certain restrictions on the receipt and possession of firearms. This form should only be used for sales or transfers where the seller is licensed under 18 U.S.C. § 923. The seller of a firearm must determine the lawfulness of the transaction and maintain proper records of the transaction. Consequently, the seller must be familiar with the provisions of 18 U.S.C. §§ 921-931 and the regulations in 27 CFR Part 478. In determining the lawfulness of the sale or delivery of a long gun (*rifle or shotgun*) to a resident of another State, the seller is presumed to know the applicable State laws and published ordinances in both the seller's State and the buyer's State.

After the seller has completed the firearms transaction, he or she must make the completed, original ATF Form 4473 (*which includes the Notices, General Instructions, and Definitions*), and any supporting documents, part of his or her permanent records. Such Forms 4473 must be retained for at least 20 years. Filing may be chronological (*by date*), alphabetical (*by name*), or numerical (*by transaction serial number*), as long as all of the seller's completed Forms 4473 are filed in the same manner. **FORMS 4473 FOR DENIED/CANCELLED TRANSFERS MUST BE RETAINED:** If the transfer of a firearm is denied/cancelled by NICS, or if for any other reason the transfer is not complete after a NICS check is initiated, the licensee must retain the ATF Form 4473 in his or her records for at least 5 years. Forms 4473 with respect to which a sale, delivery, or transfer did not take place shall be separately retained in alphabetical (*by name*) or chronological (*by date of transferee's certification*) order.

If you or the buyer discover that an ATF Form 4473 is incomplete or improperly completed after the firearm has been transferred, and you or the buyer wish to make a record of your discovery, then photocopy the inaccurate form and make any necessary additions or revisions to the photocopy. You only should make changes to Sections B and D. The buyer should only make changes to Sections A and C. Whoever made the changes should initial and date the changes. The corrected photocopy should be attached to the original Form 4473 and retained as part of your permanent records.

Over-the-Counter Transaction: The sale or other disposition of a firearm by a seller to a buyer, at the seller's licensed premises. This includes the sale or other disposition of a rifle or shotgun to a nonresident buyer on such premises.

State Laws and Published Ordinances: The publication (ATF P 5300.5) of State firearms laws and local ordinances ATF distributes to licensees.

Exportation of Firearms: The State or Commerce Departments may require you to obtain a license prior to export.

Section A

Question 1. Transferee's Full Name: The buyer must personally complete Section A of this form and certify (*sign*) that the answers are true, correct, and complete. However, if the buyer is unable to read and/or write, the answers (*other than the signature*) may be completed by another person, excluding the seller. Two persons (*other than the seller*) must then sign as witnesses to the buyer's answers and signature.

When the buyer of a firearm is a corporation, company, association, partnership, or other such business entity, an officer authorized to act on behalf of the

business must complete Section A of the form with his or her personal information, sign Section A, and attach a written statement, executed under penalties of perjury, stating: (A) the firearm is being acquired for the use of and will be the property of that business entity and (B) the name and address of that business entity. If the buyer's name in question 1. is illegible, the seller must print the buyer's name above the name written by the buyer.

Question 2. Current Residence Address: U.S. Postal abbreviations are acceptable. (e.g., St., Rd., Dr., PA, NC, etc.). Address cannot be a post office box. County and Parish are one and the same.

If the buyer is a member of the Armed Forces on active duty acquiring a firearm in the State where his or her permanent duty station is located, but does not reside at his or her permanent duty station, the buyer must list both his or her permanent duty station address and his or her residence address in response to question 2. If you are a U.S. citizen with two States of residence, you should list your current residence address in response to question 2 (e.g., if you are buying a firearm while staying at your weekend home in State X, you should list your address in State X in response to question 2).

Question 9. Unique Personal Identification Number (UPIN): For purchasers approved to have information maintained about them in the FBI NICS Voluntary Appeal File, NICS will provide them with a Unique Personal Identification Number, which the buyer should record in question 9. The licensee may be asked to provide the UPIN to NICS or the State.

Question 11.a. Actual Transferee/Buyer: For purposes of this form, you are the actual transferee/buyer if you are purchasing the firearm for yourself or otherwise acquiring the firearm for yourself (e.g., redeeming the firearm from pawn/retrieving it from consignment, firearm raffle winner). You are also the actual transferee/buyer if you are legitimately purchasing the firearm as a gift for a third party. **ACTUAL TRANSFEREE/BUYER EXAMPLES:** Mr. Smith asks Mr. Jones to purchase a firearm for Mr. Smith. Mr. Smith gives Mr. Jones the money for the firearm. Mr. Jones is **NOT THE ACTUAL TRANSFEREE/BUYER** of the firearm and must answer "NO" to question 11.a. The licensee may not transfer the firearm to Mr. Jones. However, if Mr. Brown goes to buy a firearm with his own money to give to Mr. Black as a present, Mr. Brown is the actual transferee/buyer of the firearm and should answer "YES" to question 11.a. However, you may not transfer a firearm to any person you know or have reasonable cause to believe is prohibited under 18 U.S.C. § 922(g), (n), or (x). **Please note: EXCEPTION:** If you are picking up a repaired firearm(s) for another person, you are not required to answer 11.a. and may proceed to question 11.b.

Question 11.b. - 11.i. Definition of Prohibited Person: Generally, 18 U.S.C. § 922 prohibits the shipment, transportation, receipt, or possession in or affecting interstate commerce of a firearm by one who: has been convicted of a misdemeanor crime of domestic violence; has been convicted of a felony, or any other crime, punishable by imprisonment for a term exceeding one year (this does not include State misdemeanors punishable by imprisonment of two years or less); is a fugitive from justice; is an unlawful user of, or addicted to, marijuana or any depressant, stimulant, or narcotic drug, or any other controlled substance; has been adjudicated mentally defective or has been committed to a mental institution; has been discharged from the Armed Forces under dishonorable conditions; has renounced his or her U.S. citizenship; is an alien illegally in the United States or an alien admitted to the United States under a nonimmigrant visa; or is subject to certain restraining orders. Furthermore, section 922 prohibits the shipment, transportation, or receipt in or affecting interstate commerce of a firearm by one who is under indictment or information for a felony, or any other crime, punishable by imprisonment for a term exceeding one year.

Question 11.b. Under Indictment or Information or Convicted in any Court: An indictment, information, or conviction in any Federal, State, or local court. An information is a formal accusation of a crime verified by a prosecutor.

EXCEPTION to 11.c. and 11.i: A person who has been convicted of a felony, or any other crime, for which the judge could have imprisoned the person for more than one year, or who has been convicted of a misdemeanor crime of domestic violence, is not prohibited from purchasing, receiving, or possessing a firearm if: (1) under the law of

the jurisdiction where the conviction occurred, the person has been pardoned, the conviction has been expunged or set aside, or the person has had their civil rights (the right to vote, sit on a jury, and hold public office) taken away and later restored AND (2) the person is not prohibited by the law of the jurisdiction where the conviction occurred from receiving or possessing firearms. Persons subject to this exception should answer "no" to 11.c. or 11.i., as applicable.

Question 11.f. Adjudicated Mentally Defective: A determination by a court, board, commission, or other lawful authority that a person, as a result of marked subnormal intelligence, or mental illness, incompetency, condition, or disease: (1) is a danger to himself or to others; or (2) lacks the mental capacity to contract or manage his own affairs. This term shall include: (1) a finding of insanity by a court in a criminal case; and (2) Those persons found incompetent to stand trial or found not guilty by reason of lack of mental responsibility.

Committed to a Mental Institution: A formal commitment of a person to a mental institution by a court, board, commission, or other lawful authority. The term includes a commitment to a mental institution involuntarily. The term includes commitment for mental defectiveness or mental illness. It also includes commitments for other reasons, such as for drug use. The term does not include a person in a mental institution for observation or a voluntary admission to a mental institution. Please also refer to Question 11.c. for the definition of a prohibited person.

EXCEPTION to 11. f. NICS Improvement Amendments Act of 2007: A person who has been adjudicated as a mental defective or committed to a mental institution is not prohibited if: (1) the person was adjudicated or committed by a department or agency of the Federal Government, such as the United States Department of Veteran's Affairs ("VA") (as opposed to a State court, State board, or other lawful State authority); and (2) either: (a) the person's adjudication or commitment for mental incompetency was set-aside or expunged by the adjudicating/committing agency; (b) the person has been fully released or discharged from all mandatory treatment, supervision, or monitoring by the agency; or (c) the person was found by the agency to no longer suffer from the mental health condition that served as the basis of the initial adjudication. **Persons who fit this exception should answer "no" to Item 11.f.** This exception does not apply to any person who was adjudicated to be not guilty by reason of insanity, or based on lack of mental responsibility, or found incompetent to stand trial, in any criminal case or under the Uniform Code of Military Justice.

Question 11.h. Definition of Restraining Order: Under 18 U.S.C. § 922, firearms may not be sold to or received by persons subject to a court order that: (A) was issued after a hearing which the person received actual notice of and had an opportunity to participate in; (B) restrains such person from harassing, stalking, or threatening an intimate partner or child of such intimate partner or person, or engaging in other conduct that would place an intimate partner in reasonable fear of bodily injury to the partner or child; and (C)(i) includes a finding that such person represents a credible threat to the physical safety of such intimate partner or child; or (ii) by its terms explicitly prohibits the use, attempted use, or threatened use of physical force against such intimate partner or child that would reasonably be expected to cause bodily injury. An "intimate partner" of a person is: the spouse or former spouse of the person, the parent of a child of the person, or an individual who cohabitates or cohabitating with the person.

Question 11.i. Definition of Misdemeanor Crime of Domestic Violence: A Federal, State, local, or tribal offense that is a misdemeanor under Federal, State, or tribal law and has, as an element, the use or attempted use of physical force, or the threatened use of a deadly weapon, committed by a current or former spouse, parent, or guardian of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with, or has cohabited with the victim as a spouse, parent, or guardian, or by a person similarly situated to a spouse, parent, or guardian of the victim. The term includes all misdemeanors that have as an element the use or attempted use of physical force or the threatened use of a deadly weapon (e.g., assault and battery), if the offense is committed by one of the defined parties. (See Exception to 11.c. and 11.i.) A person who has been convicted of a misdemeanor crime of domestic violence also is not prohibited unless: (1) the person was represented by a lawyer or gave up the right to a lawyer; or (2) if the person was entitled to a jury, was tried by a jury, or gave up the right to a jury trial. Persons subject to this exception should answer "no" to 11.i.

Question 11.I. An alien admitted to the United States under a nonimmigrant visa includes, among others, persons visiting the United States temporarily for business or pleasure, persons studying in the United States who maintain a residence abroad, and certain temporary foreign workers. The definition does NOT include permanent resident aliens nor does it apply to nonimmigrant aliens admitted to the United States pursuant to either the Visa Waiver Program or to regulations otherwise exempting them from visa requirements.

An alien admitted to the United States under a nonimmigrant visa who responds "yes" to question 11.I. must provide a response to question 12 indicating whether he/she qualifies under an exception.

Question 12. Exceptions to the Nonimmigrant Alien Response: An alien admitted to the United States under a nonimmigrant visa is not prohibited from purchasing, receiving, or possessing a firearm if the alien: (1) is in possession of a hunting license or permit lawfully issued by the Federal Government, a State, or local government, or an Indian tribe federally recognized by the Bureau of Indian Affairs, which is valid and unexpired; (2) was admitted to the United States for lawful hunting or sporting purposes; (3) has received a waiver from the prohibition from the Attorney General of the United States; (4) is an official representative of a foreign government who is accredited to the United States Government or the Government's mission to an international organization having its headquarters in the United States; (5) is en route to or from another country to which that alien is accredited; (6) is an official of a foreign government or a distinguished foreign visitor who has been so designated by the Department of State; or (7) is a foreign law enforcement officer of a friendly foreign government entering the United States on official law enforcement business.

Persons subject to one of these exceptions should answer "yes" to questions 11.I. and 12 and provide documentation such as a copy of the hunting license or letter granting the waiver, which must be recorded in 20.c. If the transferee (buyer) answered "yes" to this question, the licensee must complete 20.c.

The seller should verify supporting documentation provided by the purchaser and must attach a copy of the provided documentation to this ATF Form 4473, Firearms Transaction Record.

Question 13. State of Residence: The State in which an individual resides. An individual resides in a State if he or she is present in a State with the intention of making a home in that State. If an individual is a member of the Armed Forces on active duty, his or her State of residence also is the State in which his or her permanent duty station is located.

If you are a U.S. citizen with two States of residence, you should list your current residence address in response to question 2 (e.g., *if you are buying a firearm while staying at your weekend home in State X, you should list your address in State X in response to question 2.*)

Question 16. Certification Definition of Engaged in the Business: Under 18 U.S.C. § 922 (a)(1), it is unlawful for a person to engage in the business of dealing in firearms without a license. A person is engaged in the business of dealing in firearms if he or she devotes time, attention, and labor to dealing in firearms as a regular course of trade or business with the principal objective of livelihood and profit through the repetitive purchase and resale of firearms. A license is not required of a person who only makes occasional sales, exchanges, or purchases of firearms for the enhancement of a personal collection or for a hobby, or who sells all or part of his or her personal collection of firearms.

Section B

Question 18. Type of Firearm(s): Check all boxes that apply. "Other" refers to frames, receivers and other firearms that are not either handguns or long guns (rifles or shotguns), such as firearms having a pistol grip that expel a shotgun shell, or National Firearms Act (NFA) firearms.

If a frame or receiver can only be made into a long gun (*rifle or shotgun*), it is still a frame or receiver not a handgun or long gun. However, they still are "firearms" by definition, and subject to the same

GCA limitations as any other firearms. See Section 921(a)(3)(b). 18 U.S.C. Section 922(b)(1) makes it unlawful for a licensee to sell any firearm other than a shotgun or rifle to any person under the age of 21. Since a frame or receiver for a firearm, to include one that can only be made into a long gun, is a "firearm other than a shotgun or rifle," it cannot be transferred to anyone under the age of 21. Also, note that multiple sales forms are not required for frames or receivers of any firearms, or pistol grip shotguns, since they are not "pistols or revolvers" under Section 923(g)(3)(a).

Question 19. Gun Shows: If sale at gun show or other qualifying event sponsored by any national, State, or local organization, as authorized by 27 CFR § 478.100, the seller must record the name of event and the location (*city and State*) of the sale in question 19.

Question 20a. Identification: List issuing authority (e.g., *State, County or Municipality*) and type of identification presented (e.g., *Virginia driver's license (VA DL), or other valid government-issued identification*).

Know Your Customer: Before a licensee may sell or deliver a firearm to a nonlicensee, the licensee must establish the identity, place of residence, and age of the buyer. The buyer **must** provide a valid government-issued photo identification to the seller that contains the buyer's name, residence address, and date of birth. The licensee must record the type, identification number, and expiration date (*if any*) of the identification in question 20.a. A driver's license or an identification card issued by a State in place of a license is acceptable. Social Security cards are not acceptable because no address, date of birth, or photograph is shown on the cards. A combination of government-issued documents may be provided. For example, if a U.S. citizen has two States of residence and is trying to buy a handgun in State X, he may provide a driver's license (*showing his name, date of birth, and photograph*) issued by State Y and another government-issued document (*such as a tax document*) from State X showing his residence address. If the buyer is a member of the Armed Forces on active duty acquiring a firearm in the State where his or her permanent duty station is located, but he or she has a driver's license from another State, you should list the buyer's military identification card and official orders showing where his or her permanent duty station is located in response to question 20.a.

Question 20.b. Alternate Documentation: Licensees may accept a combination of valid government-issued documents to satisfy the identification document requirements of the law. The required valid government-issued photo identification document bearing the name, photograph, and date of birth of transferee may be supplemented by another valid, government-issued document showing the transferee's residence address. This alternate documentation should be recorded in question 20.b., with issuing authority and type of identification presented. A combination of government-issued documents may be provided. For example, if a U.S. citizen has two States of residence and is trying to buy a handgun in State X, he may provide a driver's license (*showing his name, date of birth, and photograph*) issued by State Y and another government-issued document (*such as a tax document*) from State X showing his residence address.

Question 20c. Documentation for Aliens Admitted to the United States Under a Nonimmigrant Visa: See instructions for Question 11.I. Types of acceptable documents would include a valid hunting license lawfully issued in the United States or a letter from the U.S. Attorney General granting a waiver.

Question(s) 21, 22, 23, NICS BACKGROUND CHECKS: 18 U.S.C. § 922(t) requires that prior to transferring any firearm to an unlicensed person, a licensed importer, manufacturer, or dealer must first contact the National Instant Criminal Background Check System (NICS). NICS will advise the licensee whether the system finds any information that the purchaser is prohibited by law from possessing or receiving a firearm. For purposes of this form, contacts to NICS include contacts to State agencies designated to conduct NICS checks for the Federal Government. **WARNING:** Any seller who transfers a firearm to any person they know or have reasonable cause to believe is prohibited from receiving or possessing a firearm violates the law, even if the seller has complied with the background check requirements of the Brady law.

After the buyer has completed Section A of the form and the licensee has completed questions 18-20, and before transferring the firearm, the licensee must contact NICS (*read below for NICS check exceptions.*) However, the licensee should NOT contact NICS and should stop the transaction if: the

buyer answers "no" to question 11.a.; the buyer answers "yes" to any question in 11.b.-11.l., unless the buyer only has answered "yes" to question 11.l. and also answers "yes" to question 12; or the buyer is unable to provide the documentation required by question 20.a, b, or c.

At the time that NICS is contacted, the licensee must record in question 21.a-c: the date of contact, the NICS (or State) transaction number, and the initial response provided by NICS or the State. The licensee may record the Missing Disposition Information (MDI) date in 21.c. that NICS provides for delayed transactions (States do not provide this number). If the licensee receives a "delayed" response, before transferring the firearm, the licensee must record in question 21.d. any response later provided by NICS or the State or that no resolution was provided within 3 business days. If the licensee receives a response from NICS or the State after the firearm has been transferred, he or she must record this information in question 21.e. **Note:** States acting as points of contact for NICS checks may use terms other than "proceed," "delayed," "cancelled," or "denied." In such cases, the licensee should check the box that corresponds to the State's response. Some States may not provide a transaction number for denials. However, if a firearm is transferred within the three business day period, a transaction number is required.

NICS Responses: If NICS provides a "proceed" response, the transaction may proceed. If NICS provides a "cancelled" response, the seller is prohibited from transferring the firearm to the buyer. If NICS provides a "denied" response, the seller is prohibited from transferring the firearm to the buyer. If NICS provides a "delayed" response, the seller is prohibited from transferring the firearm unless 3 business days have elapsed and, before the transfer, NICS or the State has not advised the seller that the buyer's receipt or possession of the firearm would be in violation of law. (See 27 CFR § 478.102(a) for an example of how to calculate 3 business days.) If NICS provides a "delayed" response, NICS also will provide a Missing Disposition Information (MDI) date that calculates the 3 business days and reflects when the firearm(s) can be transferred under Federal law. States may not provide an MDI date. *Please note State law may impose a waiting period on transferring firearms.*

EXCEPTIONS TO NICS CHECK: A NICS check is not required if the transfer qualifies for any of the exceptions in 27 CFR § 478.102(d). Generally these include: (a) transfers where the buyer has presented the licensee with a permit or license that allows the buyer to possess, acquire, or carry a firearm, and the permit has been recognized by ATF as a valid alternative to the NICS check requirement; (b) transfers of National Firearms Act weapons approved by ATF; or (c) transfers certified by ATF as exempt because compliance with the NICS check requirements is impracticable. See 27 CFR § 478.102(d) for a detailed explanation. If the transfer qualifies for one of these exceptions, the licensee must obtain the documentation required by 27 CFR § 478.131. A firearm must **not** be transferred to any buyer who fails to provide such documentation.

Section C

Question 24 and 25. Transfer on a Different Day and Recertification: If the transfer takes place on a different day from the date that the buyer signed Section A, the licensee must again check the photo identification of the buyer at the time of transfer, and the buyer must complete the recertification in Section C at the time of transfer.

Section D

Immediately prior to transferring the firearm, the seller must complete all of the questions in Section D. In addition to completing this form, the seller must report any multiple sale or other disposition of pistols or revolver on ATF Form 3310.4 (see 27 CFR § 478.126a).

Question(s) 26, 27, 28, 29 and 30, Firearm(s) Description: These blocks should be completed with the firearm(s) information. Firearms manufactured after 1968 should all be marked with a serial number. Should you acquire a firearm that is not marked with a serial number; you may answer question 28 with "NSN" (No Serial Number), "N/A" or "None."

If more than five firearms are involved in a transaction, the information required by Section D, questions 26-30, must be provided for the additional firearms on a separate sheet of paper, which must be attached to the ATF Form 4473 covering the transaction.

Types of firearms include: pistol, revolver, rifle, shotgun, receiver, frame and other firearms that are not either handguns or long guns (rifles or shotguns), such as firearms having a pistol grip that expel a shotgun shell or National Firearms Act (NFA) firearms.

Additional firearms purchases by the same buyer may not be added to the form after the seller has signed and dated it. A buyer who wishes to purchase additional firearms after the seller has signed and dated the form must complete a new ATF Form 4473. The seller must conduct a new NICS check.

Question 30c. This box is for the FFL's use in recording any information he or she finds necessary to conduct business.

Question 32 Federal Firearms License Number: Must contain at least the first three and last five digits of the FFL number, for instance X-XX-XXXXX.

Question 33-35 Transferor/Sellers Information: For "denied" and "cancelled" NICS transactions, the person who completed Section B must complete Section D, questions 33-35.

Privacy Act Information

Solicitation of this information is authorized under 18 U.S.C. § 923(g). Disclosure of the individual's Social Security number is voluntary. The number may be used to verify the buyer's identity.

Paperwork Reduction Act Notice

The information required on this form is in accordance with the Paperwork Reduction Act of 1995. The purpose of the information is to determine the eligibility of the transferee to receive firearms under Federal law. The information is subject to inspection by ATF officers and is required by 18 U.S.C. §§ 922 and 923.

The estimated average burden associated with this collection is 30 minutes per respondent or recordkeeper, depending on individual circumstances. Comments about the accuracy of this burden estimate and suggestions for reducing it should be directed to Reports Management Officer, Document Services Section, Bureau of Alcohol, Tobacco, Firearms and Explosives, Washington, DC 20226.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Confidentiality is not assured.